DOCUMENT RESUME

ED 311 536 EA 021 298

AUTHOR	Ondrack, D. A.; Oliver, C.
TITLE	A Review and Analysis of Performance Appraisal Processes, Volume II. Performance Appraisal for Professional Service Employees: A Field Service Study Report. Professionalism in Schools Series.
INSTITUTION	Ontario Dept. of Education, Toronto.
REPORT NO	ISBN-0-7729-1089-8
PUB DATE	86
NOTE	212p.; For volumes 1 and 3, see EA 021 297-299.
AVAILABLE FROM	Publications Sales, The Ontario Institute for Studies in Educaiton, 252 Bloor Street West, Toronto, Ontario, Canada M5S 1V6.
PUB TYPE	Reports - Research/Technical (143)
EDRS PRICE	MF01/PC09 Plus Postage.
DESCRIPTORS	Decentralization; Elementary Secondary Education; *Evaluation Criteria; *Evaluation Methods; Evaluation Utilization; Foreign Countries; *Formative Evaluation; *Personnel Evaluation; *School Personnel; *Summative Evaluation
IDENTIFIERS	*Ontario

ABSTRACT

The second of three volumes, this report consisted of a series of field-site investigations of performance appraisal systems in action to compare actual practices with results reported in the literature review published in volume 1. The field-site studies conducted at 10 professional service organizations in Ontario and 7 public school systems in the United States mirror many of the results from the literature review with three important additions: (1) many appraisal systems are in constant evolution so what is reported in the literature may be at variance with actual practices; (2) appraisal approaches depend upon the local environmental situation of the organization; and (3) the bureaucratic cumbersomeness of many appraisal systems causes short cuts to be used. In practice, this means that most teachers/professionals receive at least "satisfactory" ratings and the elaborate quasi-judicial safeguards built into many systems are used only rarely. Two principles seem to operate in the most satisfactory sites. First, a decentralized appraisal system is developed in operational detail by the local organization to reflect local concerns and priorities. Second, the system is developed jointly by supervisors and subordinates so that all involved parties accept the relevance and legitimacy of the appraisal system. (JAM)

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A REVIEW AND ANALYSIS OF PERFORMANCE APPRAISAL PROCESSES

VOLUME II

Performance Appraisal for Professional Service Employees: A Field Study Report

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Professionalism in Schools Series

D. A. ONDRACK, Principal Investigator

C. OLIVER, Research Associate

This research project was funded under contract by the Ministry of Education, Ontario.

This study reflects the views of the authors and not necessarily those of the Ministry of Education.

The Honourable Sean Conway, Minister

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ONO 4162

Canadian Cataloguing in Publication Data

Ondrack, D. A.
A review and analysis of performance appraisal processes

Includes bibliographies.
Partial contents: v. 2. Performance appraisal for professional service employees, field study report -- v. 3. Performance appraisal for professional service employees, non-technical report.
ISBN 0-7729-1087-1 (3 v. set). -- 0-7729-1088-X (v. 1). -- 0-7729-1089-8 (v. 2). -- 0-7729-1090-1 (v. 3)

1. Teachers--Rating of. 2. Employees, Rating of. I. Oliver, Christine Tomaszuk. II. Ontario. Ministry of Education. III. Title. IV. Title: Performance appraisal for professional service employees.

LB2838.052 1986 371.1'44 C86-099627-1

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ACKNOWLEDGEMENTS

The authors of this study wish to acknowledge the significant contributions of all field site personnel whom we interviewed for our study. Without their assistance and co-operation this project would not have been possible. Special recognition should be given to Dr. Glen Tecker whom we interviewed at Educational Testing Services, Princeton, New Jersey. His insights into the process and methods of appraisal were both inspiring and highly informative.

The authors would also like to acknowledge the guidance and assistance of the Advisory Committee of the Ministry of Education, under the chairmanship of Dr. Peter Nightingale, over the two years of work involved in this project. The comments and assistance received from the members of the Advisory Committee were a crucial asset to the progress and completion of the project.

ABSTRACT

This research project consisted of two major parts: a) a review of the literature on performance appraisal with special attention to the literature on certificated personnel in public education systems; b) field site studies of performance appraisal in action at ten professional service organizations in Ontario and seven public school systems in the USA. Each of the sites studied was selected on the basis of reputation for advanced practices in appraisals.

The literature review provided two major approaches to conducting performance appraisals: a) a focus on the "process" of professional work or the techniques, means, skills, and styles used to perform professional service; and b) a focus on the "outputs" of professional work, or various measures, outcomes, and judgements on the results of professional work. Secondly, the literature review provided two major uses of appraisals: a) "formative" uses where appraisal information is used for recognition, guidance, coaching, development, or problem correction in professional work; and b) "summative" uses, where appraisal information is used for administrative decisions on personnel such as compensation, promotion, training, transfers, or discipline. These approaches and uses of performance appraisal are not mutually exclusive and various combinations can be found in many systems.

Finally, another major theme in the literature review was the growing emphasis on protection of employee rights legislation and the vulnerability of employers to lawsuits arising from contentious personnel decisions based on performance appraisals. These trends have led to considerable effort to improve the reliability and validity of appraisal systems, but have also led to increased bureaucratization of procedures.

The field site studies mirrored many of the results from the literature review, with three important additions:

a) many appraisal systems are in constant evolution so that what is reported in the literature is sometimes not in practice when the site is visited;

b) different approaches and priorities in appraisal are used depending upon the local environmental situation of the organization;

c) bureaucratic cumbersomeness of many appraisal systems causes short-cuts to be used. In practice, this means that most teachers/professionals receive at least "satisfactory" ratings and the elaborate quasi-judicial safeguards built into many systems are used only rarely.

While no generally suitable appraisal system was found to emerge from either the literature review or field site study, two principles seemed to be operative in the most satisfactory sites:

a) under a set of general principles or guidelines established by a relevant central authority, a decentralized appraisal system is developed in operational detail by the local organization to reflect local concerns and priorities;

b) the decentralized system is developed jointly by supervisors and subordinates in the organization so that all involved parties accept the relevance and legitimacy of the appraisal system. Locally developed systems, which satisfy overall standards set by the larger organization, seem to be best suited to working through the inevitable learning curve of implementation and adaptation of an effective appraisal system.

1.0 INTRODUCTION

The purpose of this project was to conduct a series of field study site visits to organizations which are analogous to public education organizations in that large numbers of professionals are employed and formal appraisals are conducted of professional service performance. The field site study is organized into two parts: a study of ten analogous organizations in Ontario which could provide useful insights into the appraisal of professionals and a study of selected public school boards in the United States which have acquired a reputation for being very progressive in their approach to appraisals of educational staff.

The results from the field studies provide an opportunity to compare the information from the literature review with appraisal practices in organizations which might be analogous to public school boards in Ontario. The non-public school, professional service organizations in Ontario are analogous because they are in the same Ontario employment environment and they employ a sizable proportion of professionals in work in varying degrees of similarity to public school teaching. The United States Schools are directly comparable insofar as they are directly involved in public school teaching, but they operate in different employment environments. Thus none of the sites are directly comparable to Ontario public school boards, but to achieve direct comparability, it would be necessary to confine the study solely to a sample of public school boards in Ontario. Instead, the intent by looking at analogous organizations, is to search for patterns in professional service appraisal systems which might be common to many types of professional service work. Conversely, it may also be possible to observe diverse approaches to appraisal which seem to work equally well in different organizations. Strong common patterns in different organizations would suggest convergence of appraisal practices across different types of professional service work, while diversity would suggest that satisfactory alternative approaches can be used, or that situational factors have a strong influence on choice of methods of appraisal.

In general, the study of analogous organizations focused upon the following issues:

i) to identify the appraisal methodologies and the uses of appraisal in the various types of organizations;
ii) to identify major differences (if any) in approaches to appraisal which seem to be required by the different organizational types;

iii) to identify differences in approaches to appraisal in different functions of the organization and in different levels of the hierarchy;

iv) to identify whether process or output approaches to appraisals are typically used in some functions and organizations and not in others;

v) to identify various approaches to developing criteria and gathering data on the work of professionals; and

vi) to identify linkages between the appraisal process and other parts of human resource management in the organization such as compensation systems, training and development, career planning, and supervision.

The report will present results according to the following outline of topic areas:

i) Initial Design and Implementation of the System: Many appraisal systems go through phases of evolution. The original impetus for a system may or may not remain applicable and the original purposes may or may not remain operative in the current system. Recognition of the need for change and the direction in which changes occur can provide important clues as to what appraisal methods are or are not workable in professional service organizations. Information in this section will include, for example, the length of time from start-up to implementation, method of developing the model, participants in the development process, the impetus for implementing a new system, the length of time the system has been in use, and necessary revisions to original plans.

ii) Current Objectives and Purposes of Appraisal: To the extent that these have been articulated or can be determined at the outset of system design, the objectives and purposes should be the driving force for the design, approach, and uses of the appraisal system. Lack of consistency in a system suggests either lack of adequate planning and development of the system or absence of suitable methods for achieving the system purposes. Also examined will be the relationship between formative and summative appraisals. Information in this section will include the philosophy and overall stated objectives of appraisal; for example: student learning, improvement in instruction, evaluatee growth, evaluatee control, organization accountability or meeting legislative and/or public demands. This category also includes specific purposes and uses, such as staff development (feedback, assistance, growth), monitoring and control, personnel decisions (promotion, retention, compensation), manpower planning, program planning, or hierarchical co-ordination.

iii) Appraisal Design and Techniques: This section will be an exploration of the degree of use of output and process-focussed appraisals and combinations of both in design of appraisal systems as well as the various techniques used to operationalize these approaches, for example: essay, rating scale, behaviour checklist, BARS, goal-setting, or a hybrid technique.

iv) Performance Criteria or Standards: This section will review the various dimensions of professional service which are used as well as the attempts to specify criteria for the different dimensions. Also examined will be the degree to which hierarchical differences occur in performance criteria. Information in this section will describe whether criteria of effectiveness are, for example, based on personality, traits, accumulated skills and abilities, performance competencies, or goal attainment. This section also reports on the use of baseline criteria/standards, if any, and the existence/use of job descriptions. Also investigated are informal behaviours related to the formal evaluation process, such as day-to-day supervision or monitoring, feedback, assistance, and support.

v) Sources of Data on Performance: This section will review the various means by which data are collected on performance, including both formal and informal methods. Also included will be a review of appraisal logistics, such as the timing of assessments and formalization of procedures. Individuals chosen as sources of data may be: supervisors, peers, subordinates/students, self, outsiders, or a combination of several individuals. Data sources may include, among others, classroom observations, reviews of records, feedback from other individuals and evaluatee comments. Dimensions associated with the interview process refer to: level of formality/informality, use of future goals or plans, developmental vs. evaluation emphasis, level of resistance to or acceptance of the process and the use or availability of rules or guidelines for conducting the appraisal interview. The assessment period and timing refer to how often appraisals are conducted, whether the assessment period is formally prescribed or conducted on an "as needed" basis, plus the time allotted to assessment.

vi) Training and Preparation for Appraisal: This section will examine how supervisors are trained and prepared to conduct appraisals from gathering data to providing feedback. The amount of organizational support provided, such as reference manuals or guidelines, training for appraisers, and consultants will also be examined. This section also reports on any efforts to disseminate information formally on the purposes, expectations, philosophy, or requirements of the appraisal model.

vii) Special Cases and Organizational Justice: This section will review whether separate or additional procedures exist for special cases of performance, such as probationary employees and various types of problem employees. Provisions for employee rights and due process will also be examined as well as other methods and mechanisms available to the evaluatee under circumstances where the appraisal process is perceived to be dissatisfying or inequitable. An estimate of how frequently this occurs is reported for those field sites where such information was obtainable.

viii) Evaluation and Maintenance of the Appraisal System: This section is complementary to the first section on evolution of appraisal systems in that evaluation and maintenance are the means by which evolution of a system occurs. This section will review the means, whether formal or informal, by which the organizations currently evaluate and maintain their systems, including attempts to elicit opinion or data on current problems and success/failure indicators (pupil progress, public acceptance, evaluatee effectiveness, evaluator and/or evaluatee satisfaction, and resistance).

ix) Trends and Outlook for the Appraisal Systems: This section is also complementary to the first section in that it is a review of the anticipated changes or problems to be solved in the various appraisal systems. Some of the pressures for changes may not yet be apparent in all the organizations and some may feel that the current system operates effectively. Consequently this section will highlight those organizations which already know that a further stage in evolution is on the horizon and whether these organizations have in mind any anticipated or suggested revisions to the current appraisal system.

1.1 THE SAMPLE

The ten analogous organizations in Ontario are in two main groups. The first group consists of organizations which employ many professionals, but where the professionals are part of a larger private business or public service organization. It is expected in these cases that appraisal methods used in the larger part of the organization will have a strong influence on the appraisal methods used for the professionals. These organizations will be referred to as the Business Group.

1.1.1 The Business Group

The Business Group was identified by consultation with colleagues at the Personnel Association of Ontario and the Compensation Research Centre of the Conference Board in Canada. The criteria for sample selection were employment of a high proportion of professional service employees and a good reputation in the personnel community for general personnel management. From this it was assumed that such organizations would also be examples of good practices in performance appraisal since performance appraisal is a foundation of so many other aspects of personnel management. A brief description of each organization in the Business group is given below, but the identity of each organization has been kept confidential. This was done partly to encourage free-flowing, frank discussions about performance appraisal and also because some sites requested confidentiality as a condition for participating in the study. Out of a list of ten recommended sites, the following five organizations agreed to participate when first approached and the remainder of the list was not used. A brief description of each participating organization is given below.

A) Organization A employs several hundred scientists and engineers engaged in pure and applied research. Basically the same appraisal forms and processes are used for the scientific group as for managers in other parts of the organization. Responsibilities, assignments, goals, and action plans are negotiated annually between a supervisor and a subordinate. The results are forecast in six-month stages so that a semi-annual and annual appraisal can be conducted. Satisfactory performance is required to obtain average annual increments and merit pay differentials are available for superior performance. Due to the nature of research projects, it is difficult to forecast results in terms of specific criteria. Instead, the supervisor and subordinates negotiate a series of assignments to various problem areas or company projects and then discuss various means by which the researcher will work on the assignments. Many of the project area assignments are derived from longer range strategic and marketing plans, although some employees can make a case for work on some of their personal interests. If the supervisor has confidence in the subordinate's intended working methods or in the subordinate's ability to handle various assignments, subordinates are essentially turned loose to work on their own. Less experienced researchers are more closely supervised or guided until they earn the right to work more independently.

Because many research projects may take years to produce ultimate results, performance appraisal has to focus on the process of a person's work or the interim results which are produced. If the interim results are produced as scheduled and seem to make sense in terms of leading toward more ultimate results, then performance is considered to be satisfactory. The company has a definite policy of performance-based compensation but results from the appraisal are just one of the inputs to compensation decisions. Other factors are the importance of the project to the company and market competition for highly valued employees. It is up to each unit manager to make recommendations for raises and bonuses based on the manager's judgements about these various factors.

B) Organization B employs several hundred scientists and engineers, also engaged in pure and applied research. The company used to use a simple checklist or trait rating form but about three years ago started to change over to a results-based appraisal system. The change-over started with top management and has now worked down through the system to the scientists. In the new system, the scientists and department heads negotiate an annual research plan of goals, targets, major activities, and personal development plans. The goals and targets are derived from the company business plans. Some scientists resented the new approach claiming that it infringed on their rights to free scientific enquiry, but others appreciated the new system because of the chance to get recognition for their activities. Compensation is determined by a combination of seniority and adequate performance. Informal merit differentials occur in such areas as access to larger research budgets, greater freedom of project choice, and travel to conferences. An attempt was initially made to use quantitative criteria for interim and ultimate results, but this was abandoned as being unworkable. The company now uses written statements about interim activities and qualitative summaries of annual performance.

C) Organization C employs a number of economists and sociologists to do economic and general business research. About half the projects consist of routine annual reports while the rest are based on negotiated assignments between researchers and department heads. Work planning meetings are formally done on an annual basis but projects are monitored frequently for progress. Assignments may be renegotiated at any time depending upon progress. Formal appraisals are done annually on rate of progress on projects, satisfaction of minimum standards, and contribution to the goals of the organization. Appraisals are ultimately summarized on a 5-point scale where a rating of three is necessary to receive annual salary increments and merit pay may be given for ratings of four or five. Ratings less than three place a person on probation for special development programs. All ratings outside the 2.5-3.5 range are examined by a top management group to assess the overall strengths and weaknesses of their professional staff and to ensure equity of assessments across different departments.

D) Organization D is a large accounting firm which employs hundreds of accounting professionals ranging from Chartered Accountancy students to accounting managers. The company has a definite up-or-out policy which means that a person has 8-10 years to progress from student to chartered accountant to senior account manager. Failure to maintain satisfactory progress results in dismissal or voluntary resignation from the firm (only about 40% of C.A. students actually become managers). A further up-or-out policy also exists for managers to progress to partnership within five years and about one in four managers achieves this progression.

Consequently the firm has a strong need for very explicit standards of performance at all levels of career progression and very systematic appraisal processes to satisfy the up-or-out policy. At present the firm uses a checklist rating form with 5-point scales on a series of dimensions related to professional skills and general abilities. Space is also provided for written comments to amplify certain ratings. The emphasis of the ratings is on satisfactory performance on a series of minimum standards of professional competence. Salary progression is automatic for everyone who satisfies the minimum standards up to the level of manager, but progression through the ranks can be faster for those who demonstrate superior performance.

Managers are eligible for merit pay differentials based on superior performance, but the criteria for managerial performance are not as clearly defined as the criteria for accountants. The company is presently doing research to develop a revised appraisal system based on specific job descriptions for each level of rank in the company. The new system of job descriptions defines different levels of competency which must be achieved across ten different areas of performance. Some of the performance areas are more relevant to junior accountants (i.e., obtaining Ontario certification) while others are more relevant to senior accountants (supervising the work of others, bringing in new clients). Competency in basic skill levels in the relevant performance areas is assessed on the basis of satisfactory completion of work assignments (i.e., the assignment cannot be completed without competency in the required skill) or by judgements of senior management.

Eligibility for progression to a higher level of work is determined by mastery of the competencies required at the previous level of work. Time limits are established for each stage in progression. Those who progress rapidly are noted as high potential employees while those who progress very slowly will eventually be asked to leave the firm. Each job description also defines in great detail the training needs for each level of the hierarchy. It can be seen that the new system is designed to operate much like progression through grades in a public school system.

E) Organization E is a training department which operates as a profit centre within a larger organization and has a number of training professionals who must develop, market, and provide programs on at least a break-even basis to the principal client, the larger organization. The department can market programs to other similar organizations as well, provided that the needs of the principal client are served first. The principal client organization is not obligated to purchase training programs from the training department, so organization E often has to compete with outside suppliers.

The department head and the various trainers meet formally once a year to negotiate objectives, plans, and budgets for the coming year and progress is reviewed semi-annually. Appraisals are based on achievement of plans plus minimum standards of trainer ratings and course evaluations, as well as subsequent reactions or experiences of the trainees with the programs (i.e., repeat business, referrals, unsolicited feedback). Peer appraisals from other members of organization E are also used. There is no flexibility in compensation since all the trainers are at the top of their range and everyone receives satisfactory ratings. To some extent the training professionals in this organization act as quasi-independent entrepreneurs. Once their goals and activities are negotiated with the department head, they are relatively free to manage themselves in a decentralized fashion. Their autonomy is retained as long as their results continue to be satisfactory.

1.1.2 The Colleges Group

Colleges of Applied Arts and Technology (CAATS) were selected for this study because they obviously employ a large number of teaching professionals and are located in the Ontario educational environment. They are different from schools in public education in that they are post-secondary, tuition-based schools and many of their instructors are not formally trained or educated as teachers. However, the colleges can be a useful sample to study for performance appraisal practices because they have to be more directly accountable to their students for a good education (tuition fees) and to the local employment community. Many colleges use advisory boards of local employers and prepare students for Provincial trade certificates or licences. Consequently, the performance of a college in producing qualified students can be closely scrutinized in many ways. It follows from this that many of the colleges have devoted careful attention to maintenance and upgrading of teaching quality.

The colleges are required by their collective agreement with teachers to provide appraisals of teaching effectiveness once a year. The method of appraisal and the dimensions of performance are not specified and it is up to each individual college to devise its own system. Practices ranged from lip service to appraisal, to different approaches within different departments in the same college, to integrated systems with quite serious attention paid to appraisals. At a minimum, appraisals may consist only of brief classroom observations or informal chats with department heads. At the extreme, appraisals may consist of extensive planning and negotiating discussions between department heads and teachers on course plans, personal development plans, and participation in organization plans. In such situations, classroom performance is only one element in overall appraisals and classroom observations by department heads may often be used only when problems seem to be indicated.

The sample for this study was obtained from a task force of CAAT personnel directors who met for the purpose of sharing information on performance appraisal practices at each college

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with the eventual hope of developing some common (voluntary) standards across the Province. With such a diversity of practices in the colleges, an attempt was made by the study group to see if some colleges could be identified as being more advanced in approaches to appraisal than others. Fortunately, the study group of personnel directors was able to identify five colleges as being the most advanced or at least the most seriously concerned with developing effective appraisal systems. This set of five colleges formed the College group sample for this project. These five colleges are identical in types of professionals employed (lecturers, teaching masters, area co-ordinators, and department heads). Although these colleges were not selected to be a random or representative sample, there is no particular geographic region, program specialty, or size factor in common among the group studied, so they represent a reasonably good cross-section of the colleges in the Ontario System.

The five colleges in the sample are Canadore College, North Bay; Cambrian College, Sudbury; St. Laurence College, Kingston and Belleville; Conestoga College, Kitchener; and Mohawk College, Hamilton. All of the colleges agreed to participate in the study when first approached so there was no need to delve further into the list of nominees developed by the college personnel directors.

1.1.3 The U.S. Schools Group

The third type of field site sample was a group of U.S. public school systems which had been identified through the literature review as being frontrunners in either innovative or serious approaches to teacher evaluation. Although the U.S. Schools group obviously operate in different education and employment environments than Ontario, they do offer the opportunity to examine a number of state-of-the-art approaches to teacher evaluation which might be applicable or relevant to Ontario schools. Secondly, many of the States have state-wide, mandatory teacher evaluation systems which serve as a baseline for evaluation practices in local school districts. Some of the local districts supplement the mandatory systems. A study of the U.S. Schools group affords an opportunity both to examine the workings of a state-wide system and to see how local school districts have adapted to such systems.

The U.S. Schools group consisted of seven public school systems plus the teacher evaluation service of Educational Testing Services (ETS) of Princeton, New Jersey. The seven school systems are:

i) State of Connecticut Department of Education, Hartford, Connecticut (Appendix 4);
ii) Montgomery County Board of Education, Rockville, Maryland (Appendix 5);
iii) Orange County Board of Education, Orlando, Florida (Appendix 6);
iv) The Chicago Board of Education, Chicago, Illinois (Appendix 7);
v) High Point Board of Education, High Point, North Carolina;
vi) State of Georgia Department of Education, Atlanta, Georgia;
vii) Oakland Unified School District, Oakland, California.

The basis for selecting each of these sites is summarized in Appendix 1 which shows some of the literature references calling attention to the various sites. Once again, there is no particular geographic or urban pattern to the U.S. Schools group. Sites range from large cities (Chicago, Oakland) to smaller cities (High Point, Orlando), from Northern industrial states (Connecticut, Maryland) to Southern (Georgia, Florida). It was hoped that such a distribution of sample sites would provide a diverse range of approaches and concerns in teacher evaluation systems and not be limited to the special problems of any one geographic or socio-economic area.

In addition, case descriptions of four sites from the U.S. Schools group are provided in appendices 4-7. These case studies provide both a narrative sense of how the teacher evaluation system works in each site and also a sense of evolution of each system. The four case studies are the State of Connecticut; Montgomery County, Maryland; Orange County, Florida; and the City of Chicago. The State of Connecticut uses a state-wide goals-oriented system with local development of goals and appraisals under State Guidelines. Montgomery County, Maryland, uses a locally developed system which combines ten performance criteria with goals-oriented appraisals in the absence of a state-wide system. Orange County, Florida, operates under a state-wide set of guidelines for appraisal and has chosen to use a goals-oriented system plus a framework of teacher competencies as a local means of satisfying the State guidelines. Finally, the City of Chicago uses an appraisal system based on establishing system-wide objectives for Chicago public schools and translating these into negotiated assignments for individuals at all levels of the hierarchy. Thus all of the case reports use some form of goals-oriented appraisal, but the approaches in practice vary widely.

1.2 PROCEDURE

Each of the prospective Business and College sites in Ontario was contacted by telephone to arrange interviews with the director of personnel or the chief administrator of the performance evaluation system. These interviews were concerned with the formal design of the system and the administration of the system from the personnel department point of view. Subsequent interviews were then arranged with department heads or supervisors who actually conducted appraisals to obtain their perspectives on their experiences with the system.

Occasional interviews were also possible with professionals themselves on their experiences with being appraised by these systems. No attempt was made to try to gather widespread evidence from appraisees on satisfaction with a system. This would have required extensive surveys with numerous samples of respondents and the logistics of trying to conduct a valid and reliable study of that sort were beyond the resources of the field study project. Instead satisfaction with a system had to be inferred from three admittedly weak indicators: testimony on satisfaction from the interviews, numbers of revisions felt to be necessary to a system, and record of grievances, appeals, arbitrations, and lawsuits arising from appraisals.

Occasional interviews were also possible with personnel specialists in some organizations who were concerned with the design, implementation, monitoring, or evaluation of the appraisal system. Site interviews with the Business and Colleges group were conducted during a period from August to December, 1982. Consequently, the information gathered reflects practices and systems in effect or planned at that time.

Prospective sites in the U.S. Schools group were first approached by mail from the Ontario Ministry of Education Research Branch (see Appendix 2 for a copy of such a letter) and then were contacted by telephone by one of the research team to arrange a site interview. All sites approached were willing to participate in the study and site visits were done during the period September 1982 to May 1983. At each school site, interviews were conducted with the senior administrator responsible for the teaching evaluation system and occasionally with specialists responsible for design, implementation, monitoring, or evaluation of the system. Interviews at all school sites were also conducted with supervisors (superintendents, inspectors, principals) who used the appraisal system and occasionally, interviews were done with teachers subject to the evaluation system. The same indicators for relative satisfaction with a system were used for the U.S. Schools sites as were used for the Business and Colleges groups.

Interviews at Educational Testing Services were conducted with specialists responsible for the National Teachers Examination (NTE) which is used by some school boards for certification of teaching staff. Also interviewed were consultants for the ETS workshops and training sessions in teacher evaluation which are widely used by many school boards. These interviews provided access to a wide range of approaches to teacher evaluation in the U.S. as well as a good review of trends and directions in teacher evaluation.

The interviews at all sites followed a semi-structured format. After a review of the history and evaluation of performance appraisal or teacher evaluation in the organization, the line of questioning followed the outline of topics shown in Appendix 3. Differences in appraisal systems for supervisors and subordinates were also explored for each of the topic areas. In this way, information on the same topic areas was gathered from all of the site inteviews. In addition, documents such as statements of philosophy and policy, procedural guidelines, training material, appraisal forms, and internal reports on the system were gathered to supplement the interviews. Follow-up inquiries were done by telephone for clarification where necessary.

The section which follows will provide results for the three samples of analogous organizations according to the nine subject areas outlined in the introduction. Statistical analysis cannot be extensively done with data from 17 organizations. Consequently, the tables in the Results section which follows provide frequency distributions and percentages where applicable. Interpretation of these results requires judgements of apparent trends and patterns in the data rather than tests of statistical significance.

2.0 RESULTS

For each of the nine topic areas, results will be presented for the Ontario Business and Colleges groups and then for the U.S. Schools group. A comparative analysis will then be done at the end of each section.

2.1 INITIAL DESIGN AND IMPLEMENTATION OF THE SYSTEM

2.1.1 Business and College Groups

In four out of five organizations in the Business group, the initial design and implementation of the system came as an initiative from top management in the organization. The design of the system was developed by the personnel department in consultation with top management and the outcome was adopted as part of the personnel management policies and practices of the organization. In effect, the performance appraisal process became one of the conditions of employment offered to prospective professional employees and a change in the conditions of employment for existing employees. One of the Business group used a joint negotiation process with employees for the development of an appraisal system. The reasons for this were the Director's personal management style (consultative-participative) and his desire to work with the professionals as associates more than as subordinates.

Two of the colleges used an appraisal system that was designed by the personnel department in consultation with the president or other senior administrators. Three of the colleges used a joint negotiation process in which appraisal systems were either developed locally at the departmental level by a committee of instructors and department heads, or at the college level by a joint task force. The task forces were normally made up of representatives of instructors, department heads, personnel administrators, and senior administrators.

Reasons for using a joint process ranged from respect for the instructors as professionals to maintaining good relations with the bargaining agent. The organizations which used top management developed systems also tended to have a high commitment to top level strategic planning for the organization. In this case, the concept of a centrally developed appraisal system seemed to be a philosophical extension of a centralized planning process, whether in the Business or the College group.

The impetus for the development of an appraisal system was somewhat different between the Business and College groups. The impetus within the Business group was generally due to an attempt to upgrade the performance of the organization by careful attention to planning and goal setting for the whole organization, and translating organization goals and plans into more specific goals and plans for departments or individuals. A second impetus was the desire to formalize and upgrade many aspects of personnel administration in the organization ranging from career development to compensation. Since data from performance appraisal provide a fundamental input to many of the decisions in personnel administration, it is only logical to start with trying to develop a better appraisal system. Finally, there was a general air of tightening up on the supervision of performance in most of the Business group, to reduce slack in the organization and to obtain greater value for the compensation outlay. This concern was expressed by more careful attention to communication of assignments and responsibilities, monitoring of progress, and accountability for results.

In the College group, the impetus for development of appraisal systems came from three principal sources. First, there was a need for a formal appraisal process mandated by the collective agreement with the instructors. However, the format and approach of the appraisal system was up to each individual college to develop. Second was the relative emphasis on teaching excellence in the colleges in this sample. A strong and active philosophy prevailed that teaching had to be of top quality and that professional development had to be continuous for instructors to keep abreast of developments in their field. These criteria in turn were to ensure that students would continue to be attracted to a particular college and that employers would continue to value the outputs of the college. In other words, the administrators of these colleges had a strong sense of market awareness and performance appraisal was an important mechanism for satisfying the college's responsibility to the market. Finally, and similar to business organizations, there was a general concern with tightening up on supervision to reduce organizational slack and to maximize utilization of available budgets. In addition to more careful supervision of operations, this concern was also apparent in the gradual implementation of more systematic personnel administration procedures.

2.1.2 U.S. Schools group

Initial design and implementation of systems varied widely among the seven different U.S. sites, but some major patterns could be observed. Four sites started out as State mandated systems, but two allowed for local development of actual appraisal practices (Oakland, California, and Orange County, Florida). The other two systems (Connecticut and Georgia) were designed and administered by the State for uniform application across all school districts. Three sites were developed as local initiatives (High Point, N.C.; Chicago; Montgomery County, Maryland) before a State system was developed (i.e., North Carolina eventually introduced a State-wide system).

Whether an evaluation system was developed locally or by the State did not seem to influence the method by which the system was designed. A top management design approach was used in three sites (Georgia, Chicago, Oakland), while a co-operative, or teacher representative design approach was used in the other State and local systems. A major motivation for trying to develop a better teacher evaluation system at the three Southern state sites (Orange County, Florida; Georgia; High Point, N.C.) was that certification of new teachers was growing rapidly and these sites wanted to control the quality of new teachers very carefully before they became quasi-tenured. Secondly there was also some degree of lack of confidence in the standards of local teachers' colleges and the school districts felt it necessary to conduct their own tests of teacher competence independently of the teachers' colleges. Eventually, the emphasis in teacher evaluation shifted more to maintenance of standards among existing teachers once the growth rates levelled off (i.e., Georgia and High Point, N.C.).

In two sites (Oakland, Chicago), considerable concern existed about the quality of education and the performance levels of students in various measures of achievement. Both of these sites are characterized by large inner-city populations, with public school systems having a reputation of failing to provide a quality education for a disadvantaged population. Both of these sites used top management designed appraisal systems focusing on results, launched in a near-crisis atmosphere. Both sites used a management by objectives (MBO) approach with central planning of missions and goals which became translated into local school goals and eventually individually negotiated work plans. The top-down MBO approach was seen as a means of attempting to rescue the public school systems in both sites. (The same school superintendent who developed the MBO system at Oakland was later hired to develop a similar system at Chicago.)

In the State of Connecticut and Hartford County, Maryland, the initial purpose of the teacher evaluation systems was the continual upgrading of quality of education by emphasizing professional development of teachers. There was no particular sense of urgency or rapid growth in these school jurisdictions. Instead the development of new approaches to appraisal reflected the on-going efforts of well-established school systems to refine and build on previously established practices.

2.1.3 Comparisons Between Business, Colleges, and U.S. Schools

A comparison between the three types of samples can be made by looking at reasons for developing the appraisal system and the method by which the system was designed and implemented. Table 1 summarizes these comparisons. As can be seen from this table, there is a fairly clear distinction between the Business group and the two groups of educational organizations in the reasons for developing an appraisal system. The Business group reasons in order of importance were (1) improved organization performance, (2) improved personnel administration, and (3) improved quality of professional service. In both types of educational organizations, the reasons were (1) mandatory requirements for teacher appraisal, (2) improved quality of professional service, and (3) improved personnel administration. These priorities may differ in individual organizations but the order of priorities represents the patterns for the sample as a whole.

In terms of design and implementation of a system, the top management approach to design is predominant in the Business group while the joint or collaborative approach is favoured in the educational organizations. It is possible that a relationship exists between reasons for developing a system and method of developing a system. The business organizations were primarily concerned about improving organization performance and used a top management approach to this end. The educational organizations had a high priority on quality of professional service and used a collaborative approach to the design of an appraisal system. However, this pattern is less clear for the Schools group since three of them used a top management approach and were also concerned about quality of education. As was described

Table 1

Initial Design and Implementation of the Appraisal System

	Business Group (5)	Colleges Group (5)	U.S. Schools Group (7)
A. Impetus priorities for developing a new system		(order of importance)	
1. Improve organization performance	1	-	3
2. Mandatory requirement	-	1	-
3. Improve quality of professional service	3	2	2
4. Improve personnel administration	2	3	-
B. Methods of development of the appraisal system		(frequencies)	
1. Top management design and development	4	2	3
2. Joint committee design and development	1	3	4
Total	5	5	7

previously, two of the schools with the top management approach (Chicago, Oakland) were in a politically demanding situation and may have behaved similarly to the Business group under pressure to produce system-wide improvements in a short period of time.

2.2 CURRENT OBJECTIVES AND PURPOSES OF APPRAISAL

2.2.1 Business and Colleges Groups

There was very little opportunity for changes in objectives or purposes to take place in most of the sites because the establishment of a new appraisal system typically occurred less than three years prior to the field study. The methodology of conducting appraisals may have evolved but the basic purposes have remained the same in the time period. Thus for both the Business and Colleges groups, the priorities shown in Table 1 are much the same now. However, a subtle shift in emphasis has occurred in two of the business organizations. The primary concern is still improvement of organization performance, but the means to this objective has shifted towards improvement in professional service. Previously these organizations had tried to improve organization performance through a tightening up of management processes (better planning, decisions, communications). Now that the management processes are considered to be well established, the emphasis is on professional development among the subordinates (individual goals and methods planning, delegation of greater responsibilities, individual accountability for results).

The original priorities are largely unchanged among the colleges but again a subtle shift in emphasis is occurring. As budgets get tighter, there is a greater concern at the top management level for improvements in organization performance (or the continued provision of high quality education with declining real dollar budgets). This concern has led to greater emphasis on long range goal setting and planning for a whole college (or major divisions) with fairly detailed action plans for lower levels in the hierarchy. This in turn is leading to some changes in negotiated objectives at the individual instructor level. Previously, instructors could operate fairly independently within the general mandate of their department, but now they have to accept some responsibility for achievement of more specific organization goals. In effect, a convergence is occurring between the management and appraisal methods at some of the businesses and colleges.

Appraisal results can be of use in personnel administration for decisions concerning pay, training, promotion, and retention of personnel. Appraisal results are used for these decisions in order to provide a more valid, systematic, and reliable basis for making these decisions. This in turn should result in more equitable treatment of employees and provide supervisors with a more defensible basis for personnel decisions. Overall, six major uses of performance appraisal results are identified. These uses for the Business and College groups are described below.

a) Eligibility for seniority maintenance: Underlying most seniority systems in organizations is the assumption that individuals must maintain at least some minimum level or standard of performance to retain their jobs and accumulate seniority. This assumption is not always made explicit and situations can exist where performance has to deteriorate to extremely low levels before the performance problem is confronted. At that point, the question of "what are minimum acceptable standards of performance" has to be debated and some definitions of standards have to be developed. Unfortunately this ad hoc approach can result in minimum standards varying widely on a case-by-case basis in the same organization.

To get away from the dangers of an ad hoc approach, many organizations try to make certain standards or expectations of performance explicit in advance so that individuals must at least satisfy these standards to retain their positions once having satisfied the initial probation period. These minimum standards may be incorporated into the job description, or may be part of the rules and regulations of the organization, or may be part of the collective bargaining agreement. As such, the standards provide some basic criteria for possible review in the appraisal process. For example, Organization E from the Business group requires that all of its trainers maintain at least a five out of seven rating on all their course evaluations.

Among the business and colleges, the results of performance appraisal are routinely used for maintenance of seniority in all five of the College group and in three of the Business group. This means that persons can continue to hold and accumulate seniority as long as they maintain some minimum standards of acceptable performance. Failure to maintain the standards does not necessarily mean that seniority is lost or no longer accumulated. Instead the consequence is that a person is put on probation again and attention is devoted to problem-solving the situation or to getting the person's level of performance back to within acceptable standards.

If the minimum acceptable standards of performance are quite low, then a person's job security is never seriously threatened and the person has, in effect, a tenured position in the organization. In times of economic decline and budget-cutting, this system of informal tenure can be called into question and minimum acceptable standards may be raised to a higher level of performance requirements. One of the Business group was in the process of up-grading minimum acceptable performance standards as a means of controlling organization costs and weeding out marginal performers.

The two Business group organizations which did not have seniority maintenance had what might be called an "up-or-out" policy where the requirement was to achieve high levels of performance in order to maintain job tenure. Thus employees had to achieve a series of better-than-average performance appraisal ratings to keep their job and maintain their salary level. If their performance slipped downwards, they were not entitled to any automatic wage adjustments by virtue of seniority and they could become subject to a renewed probationary status. Anyone who was consistently appraised as "average" in performance (i.e., only met the minimum acceptable standards for a job) was not a prospect for long-term employment with the organization. Eventually their performance would have to be upgraded or they would be dismissed. In each case the person's supervisor and others would work with the person in question in a salvage program of counselling, trying to develop personal development plans, or provide remedial training, but the ultimate decision rule was up-or-out. As will be seen in the next section, both these organizations used performance-based compensation systems as well.

b) Eligibility for pay progression based on performance differentials: This is a lengthy way of referring to merit pay, but the preference in most organizations which have such provisions is to think of it as performance pay. The reason for this is that merit pay sounds like pay based on personal qualities of the individual, perhaps independent of performance. Performance pay is based on differences in process or outputs between individuals where pay differences are seen to be earned by the individual's greater effort or contribution to the organization.

The linkages between the performance appraisal system and the compensation system obviously have to be very close in a performance pay system, since the data for the appraisals provide the data for the compensation decisions. Performance-based compensation refers to a policy where people in the same job description receive different levels of compensation based on different levels of individual performance. These differences can apply both to salary and benefits components of compensation although most standard benefits in compensation are universally applicable. It should be noted that it is also possible for people with the same job description to receive different levels of pay in a seniority-based compensation system, with juniors being at the bottom of a wage range for a job and seniors being at the top of the range. Pay differentials for people with the same rank and job description in an organization can be a very sensitive issue and this places heavy demands on the appraisal system to be valid, systematic, and reliable.

Performance-based compensation was formally used by three of the Business group and by none of the College group. The other two Business group organizations basically used a seniority approach to pay progression where a person had only to satisfy minimum performance standards to be eligible to receive whatever annual wage adjustment was available from the organization. The same situation was basically true in the College group despite the fact that provision existed in some cases for performance differentials at the instructor level. Generally all of the colleges felt that it was easier to give across-the-board annual increments for all satisfactory personnel for reasons of administrative simplicity and to avoid the possibility of grievances on wage decisions.

In some of the colleges, a person on performance probation would still receive his or her increment during the salvage program. The rationale for this progression entitlement was that the salvage program was assumed to be likely to succeed or that the person on probation was given the benefit of the doubt. This was less the case in the Business group where a person on performance probation was not necessarily entitled to an automatic increment during a salvage program. There were two reasons for this practice: to dramatize the seriousness of the performance problem to the person on probation and to keep the record clean on pay raises should an arbitration hearing or lawsuit arise out of the situation.

The three businesses with performance-based compensation routinely used performance appraisal results for compensation progression decisions. However, to say that this is a routine use should not underrate the seriousness of care given to the appraisal process. Each of these organizations has a policy that raises in pay above the mid-range for a job grade can only be achieved by performance at a level above the average defined by the organization. Persons whose performance is rated at the average range will not receive any progression in pay level, but instead receive at most, the economic adjustment (if any is available) for their job class. Persons rated as being below average would not necessarily receive an economic adjustment and would likely go on probationary status if two consecutive below average ratings were obtained. (These organizations prefer to use the term "economic" adjustment rather than "annual" adjustment so as to further reinforce the notion that there are no automatic raises in salary.)

These three business organizations use very similar approaches to performance appraisal in that minimum standards of acceptable performance are defined for all professionals and average performance is defined at some level above the minimum (in effect a new higher minimum standard is defined). Performance achievements are based upon results obtained on both action plans and results forecasts from previous planning meetings. Thus each appraisal interview consists of a two-stage process: review of the past time period's activities and results, and planning of activities and results for the coming time period. When the assessment is completed, the supervisor completes a compensation recommendation for each subordinate which in effect ranks subordinates into different levels of performance categories.

Those ranked as average will receive last year's base pay plus an economic adjustment if any, but none of the bonus pool. Those ranked at better-than-average will receive some proportion of the bonus pool in addition to the compensation level for the average performers. Those ranked as superior will receive an even higher proportion of the bonus pool than the better-than-average performers. Table 2 indicates in a simplified manner how this system would work.

In two of the Business group organizations, the differential salary increase becomes part of the person's new base rate of pay so that in the following year, any additions are calculated on top of the new base rate. In one of the Business group, the base rate of pay continues to be the rate of pay for average performers and each year's bonus is considered to be a special payment for that year only. In this way a person must continually justify a differential level of pay based on current performance and is not allowed to coast at a higher level of pay if it is no longer justified. In effect, this latter performance pay system operates in a manner similar to a base pay plus commission compensation package where the size of the commission may vary from year to year while the base rate remains stable.

c) Identify training needs: A common use of appraisals is to identify training needs which arise out of problems or deterioration in performance. Professional development plans can also be undertaken for personal growth or diversification of skills independently of satisfactory performance. Training needs ordinarily are identified for individuals but an organization could also recognize a collective need for some sort of training if a series of

Table 2

Example of Wage Differentials Based on Individual Performance Appraisal Results

	Distribution of Performance Ratings for 20 persons			
	Below Average	Average Performers	Better than Average	Superior Performers
Wage Budgets	n = 2	n = 10	n = 6	n = 4
1. Economic adjustment shared equally ($20,000) for average and above performancers	0	$10,000	$ 6,000	$ 4,000
2. Bonus pool, ($20,000) for better-than average and above performancer. (40% to B.T.A., 60% to Superior ratings).	0	0	8,000	12,000
Salary increase per person	0	$ 1,000	$ 2,333	$ 4,000

individuals all had similar problems. Recognition of collective training needs requires that some means exist for aggregating data about performance appraisals. This in turn raises issues about confidentiality of individual file data. It should also be recognized that training needs can be identified by other means such as forecasts of future trends in some aspect of a professional's work. Here training would be done in advance to pre-empt the occurrence of a performance problem. An example would be a forecast by the accounting firm that desk-top computers will be an important influence on the work of accountants in the near future. No particular performance problems may exist at the moment but the firm could train people to be familiar with micro-computers so that the likelihood of individual performance problems in the future would be considerably diminished.

All of the College group and four out of five of the Business group use performance appraisal to identify training needs for individuals. These needs can be the result of inadequacies in performance, but more commonly are identified in terms of professional development plans. Thus each organization has an item in the appraisal agenda for the discussion of training plans for the maintenance and upgrading of professional skills. This was more routinely done in the College group than in the Business group because of the philosophy commonly held in the College group that instructors had to be up-to-date within their fields. The emphasis on training needs identification in the Business group is a more recent phenomenon.

Training plans in the Business group sample are still treated as individual concerns and there was no evidence of any attempt to aggregate individual training needs into some general training plans for the organization. Aggregation of training needs was more commonly found in the College group where, if a common skills deficiency or skills interest was identified for a number of people, attempts would be made to offer a course to the group of people. Individual development plans in colleges are still commonly used as well, but it is not unusual for a whole department to receive similar training in an area if a number of people in the department have the same training need. The one exception out of the ten organizations was organization E from the Business group which was a training department within a larger organization. The professionals in this organization routinely identified their own needs for training as part of their regular duties and thus it was not necessary to plan formally for training during their performance appraisals.

d) Discovery of performance problems: Under conditions of highly delegated or decentralized operations, it is possible that performance problems with professionals might not be discovered until one of the formal appraisal sessions was held. This possibility might even be more pronounced in the case of a professional service organization in which individuals may work quite independently from each other and their supervisor. If people were required to work in a much more interdependent manner, then it would be much less likely that supervisors would be unaware of developing performance problems. Similarly if a supervisor made a practice of carefully monitoring the work of subordinates, there would be less likelihood of a supervisor waiting for the formal appraisal session in order to become aware of performance problems.

All of the College group and four of the Business group indicated that performance appraisals were not routinely used to discover performance problems. The rationale for these responses was that supervisory monitoring in each organization was sufficiently in tune with operations to allow performance problems to always be discovered long before the time of the formal appraisal. The exception was organization E where a management style of considerable delegation of authority was used, thus it was conceivable that problem awareness might be delayed until the formal appraisal. However, supervisory monitoring in practice still provided sufficient awareness of the status of current operations so that "no surprises" at appraisal could occur. Consequently it is really more accurate to say that none of the organizations relied on performance appraisal results for the discovery of performance problems.

e) Document performance problems: Due to either the presence of negotiated grievance procedures or the rapid changes in common law on employment relationships, it is becoming increasingly necessary for organizations to carefully document all cases of performance problems. This in turn puts considerable pressure on organizations to formalize the appraisal process and document or justify all personnel decisions which may be grieved or have to be defended. Similarly, the need for documentation increases the need for greater explicitness of job descriptions, performance criteria, or negotiated individual duties and responsibilities. In Volume 1 of this report, it was suggested that greater explicitness of criteria and expectations improves employee security against unfair treatment, provides greater clarity of direction and more realistic feedback. These changes should enhance employee satisfaction with work and may provide the organization with improved performance since people now know where better to allocate their energies. Unfortunately, the trend to more explicitness is also likely to be accompanied by a direct increase in the paperwork and complexity of an appraisal system.

Many organizations have reacted against this cumbersomeness in the appraisal system and have resisted the trend to explicitness and documentation (and organization planning as well). Many of these organizations have later found themselves to have non-defensible positions when grievances have been raised about actions taken on performance problems. The general position taken by arbitrators and the courts is that if a performance problem has not been substantially documented in an employee's file as a result of formal appraisals, then corrective actions taken are not justifiable and constitute unfair treatment of the employee. Consequently, many organizations are now turning toward greater elaboration of the performance appraisal system despite their reluctance to get involved in a more cumbersome process.

All of the business and college organizations used performance appraisal data and records to document performance problems. Due to recent trends in arbitration decisions, civil law suits on unfair dismissal cases, and government agency findings on discrimination cases, the inescapable conclusion at each organization was that thorough documentation of performance problems was crucial to the defence of decisions in problem cases. Secondly, the ratings in performance appraisals have to show clear evidence of the existence of a problem, so that no one can grieve on the basis of lack of awareness or lack of feedback about the judgements made about their performance. Thirdly, the trend in most legal and quasi-legal jurisdictions is toward requiring evidence of a salvage attempt for problem employees, in order for problem employees to have the opportunity to redeem themselves in their job performance. Finally, if it can be shown that despite repeated feedback and despite reasonable salvage programs, the performance of the employee in question is still below acceptable standards, then the employee can be dismissed for cause.

The intricacies of the law on these points are far too complex to be discussed here, but the main point remains that the basis for defence against grievances on dismissals and demotions is a well documented, valid, and reliable performance appraisal system. Even though such cases are relatively few in number at all of the organizations surveyed, the potential hazards of an inadequate appraisal system are well recognized at each of the organizations.

Very often when discussing this aspect of an appraisal system, a tendency can exist to make it sound as though justification of dismissal decisions is the main reason for a sound appraisal system. In fact, all of the organizations surveyed felt that this was a very minor use of their systems due to their relative success in recruiting, training, developing, and supervising personnel so that serious performance problems rarely occurred. If and when such problems did occur, however, each organization wanted to be able to defend a dismissal action if all attempts at salvage ultimately failed.

f) Assessment of promotion potential: It is quite common in professional service organizations to consider people for promotion on the basis of their performance in their professional tasks. The assumption in this case is that performance at one level of tasks would be a good predictor of performance at another level of tasks. An analogy would be the use of academic grades as a predictor of future job performance. However, some organizations see a distinction between the skills and competencies necessary for work at a professional level and the skills and competencies necessary to manage other professionals. For these organizations, performance appraisal information may be used to determine who might be considered eligible for promotion, but other sources or other types of information may be used for assessment of actual promotion potential. This sort of distinction might not used be in promotion from junior professional to senior professional, but would be used for decisions on promotion from senior professional to manager or department head. The question asked in this case is whether a distinction is made between appraisal of past performance and assessment of promotion potential in the sense that different aspects of a person's performance are considered or different sources of data are used for this assessment.

All of the organizations maintained a distinction between these two types of assessments. In other words, it was not a routine use of performance appraisal to determine promotion potential of subordinates. Instead a separate assessment was made of a person's apparent ability to supervise the work of others or to perform other managerial duties not normally covered in work at the professional level. However, performance appraisal results were routinely used to determine eligibility for promotions or whether a person could join the pool of candidates who would be assessed for promotion potential. In general, only persons with better-than-average performance at the professional level were considered eligible for promotion and those within this group would then be examined for potential for work above the professional level.

All of the organizations followed a practice of assessing promotion potential by giving a person intermediate responsibility for higher levels of authority as a trial run test of their supervisory skills. For example, a practice common in the colleges is to let a person be an area co-ordinator reporting to a department head. There might be four or five area co-ordinators reporting to a department head and each co-ordinator would help share the administrative burden of the department head's job. People who seemed to work out well in this trial run (on the basis of a performance appraisal of their supervisory skills) could then be considered for promotion to department head. In one of the Business group (Organization C), a person is given responsibility for successively larger research projects involving the co-ordination of larger numbers of other professionals as a means of assessing whether the person has the ability to be a project manager.

In summary, results of performance appraisals are routinely used for a series of important personnel administration decisions and few differences appear between the Business and College groups of organizations in the seriousness with which appraisals are treated. The biggest difference in the routine use of appraisals lies in the area of compensation policy, with the Business group being more prone to performance-based pay and the Colleges being more prone to seniority-based pay. Despite this difference in compensation policy, all of the organizations use information from performance appraisals as a fundamental data base for human resource management.

2.2.2 U.S. Schools Group

In the U.S. Schools group the situation is similar to the Business and Colleges groups in that most appraisal systems have been relatively recently developed and few changes have occurred from the original purposes and objectives. However, some changes in methodology are occurring which may have the result of changing the purposes of the appraisal system. There are two examples of this phenomenon. The original teacher evaluation system in High Point, N.C., was developed as a goals-based system for individual planning of teaching and professional development goals. With the subsequent introduction of a State-wide system of requirements for teacher evaluation which emphasizes classroom observations, the High Point school board has had to cut back on the previous approach to accommodate the State requirements. In Oakland, California, the local school district developed a goals-based planning and evaluation system in order to accommodate State-wide requirements and also to improve the performance of the teaching organization. At the time that this study was conducted, the Oakland District was facing two severe problems: the MBO evaluation system had become mired in centrally administered complexity, and a severe State cutback in funding which would require the laying off of hundreds of teachers. The District had hoped to use the teacher appraisal information to make the layoff decisions (subject to equivalent seniority) but the large numbers of layoffs and the cumbersomeness of the appraisal system required a faster approach to decision-making. As a result of this experience, the District was casting about for a new, simpler approach to teacher evaluations, perhaps based on teacher competencies.

In general, both the process and usefulness of any appraisal system depends upon the purposes that the system is designed to serve. Differences among the seven school sites represent variations in individual, district, or state goals and the need for unique responses to local conditions. The similarities among the field sites are suggestive of the objectives and challenges shared in common by all those who are committed to effective appraisal design and implementation. Each of the seven school districts articulated a verbally different but thematically similar purpose for performance appraisal; for example:

(1) improvement of student learning;
(2) improvement in the quality of instruction;
(3) accountability, assistance, and feedback;
(4) professional growth and improvement in the quality of professional services;
(5) improvement in instruction and personnel effectiveness;
(6) development and improvement; and
(7) improvement of instructional performance.

These seven statements can be summarized into three basic themes: improve student learning, improve quality of instruction, and professional development.

In terms of the specific objectives of these systems, it is interesting that none of the seven sites had developed a direct linkage between performance appraisal and personnel administration decisions (e.g., promotion, compensation, transfers, dismissal, lay-offs). A minority of districts used appraisal documents for "input" into promotions, transfers, or dismissal, but in no case were performance assessments used as an exclusive information source for decision-making, and no district tied the appraisal results to compensation or lay-off decisions. One site stipulated specifically that the appraisal system and the dismissal process should be philosophically and practically separate processes. The rationale for establishing dismissal procedures that were entirely separate from performance appraisal was a desire to avoid generating "fear and suspicion" which could be detrimental to a "healthy attitude toward self-appraisal as well as cooperative appraisal".

In terms of the uses of teaching evaluation results for personnel decisions, the information which follows is in the same format as for the Business and College groups.

a) Maintenance of seniority: In all seven of the school sites, a person's seniority or tenure was assumed to be maintained, almost regardless of the teaching evaluation results. If the evaluations indicated severe problems, then a person would be put on a special review status and a salvage program would be discussed and attempted. Only if the salvage program showed repeated failure would the person's employment status be threatened. In effect, the schools moved very cautiously in this area, undoubtedly due to the presence of union representation of the teachers. In principle, a teacher who routinely received at least marginally satisfactory teaching evaluations and otherwise stayed out of trouble, satisfied the minimum standards necessary for maintenance of seniority in the organization.

This does not mean that mediocre teachers were not dealt with in other ways. In at least two cases, it was reported that a number of principals would try to pass on marginal teachers to other schools or otherwise encourage them to leave, but would not go so far as to attempt to fire them. Other principals had counselling sessions with mediocre teachers about whether they were really suited to careers in teaching and some number always left voluntarily.

b) Eligibility for performance pay: There was no provision for performance pay in any of the systems although some opportunities for merit pay existed. This means that annual pay increments tended to be universal for all teaching staff and progression through a pay range tended to be on accumulated seniority. Consequently, high performing teachers received the same pay raises as average and mediocre teachers. Few administrators were pleased with this situation, but said that it was justified by administrative and political simplicity.

Merit pay, on the other hand, was a somewhat different situation. Three school districts had provision for giving some teachers extra pay allowances for extra duties, such as acting as curriculum co-ordinator, master teacher, department co-ordinator, counselor, administrative assistant, and so on. These assignments involved some degree of extra duties and the extra pay was not significantly large, but it was a means of rewarding those whom the principal judged to be high level performers. These judgements were not based solely on teacher evaluations but were the result of an accumulation of data on a teacher's overall contribution to the school. Thus differential compensation could exist based on the extra responsibilities of individuals and using standard pay allowances as provided in the local compensation system. Other non-monetary forms of merit pay were also found to exist, such as high performing teachers being chosen to go to conferences or training sessions.

c) Identify training needs: In general, teaching evaluations were not used for the identification of training needs. Teacher training programs or professional development programs were most often developed for a school as a whole or by initiatives of the school board. This means that training programs tended to be universal in application based on other methods of identifying training needs. However, the teaching evaluations could be linked to training in more direct ways.

Based on a feedback discussion of teaching observations or other aspects of a teacher's work, individual teachers might decide on their own initiative to pursue certain types of training or skills development. Similarly, if the discussion centered on career counselling, an individual might apply for certain types of training to prepare for a different aspect of a career in education. Finally, teachers with satisfactory evaluations might decide on their own to pursue some types of training in the absence of any discussion with a supervisor or principal. This was the most common case for individual training activities, that is, self-identified training needs.

The exception to these patterns was for situations of inadequate or problem performance in teachers. Here the systems provided for a special review of the individual's performance, often combined with a special counselling, assessment, or training program. In practice, six out of seven of the Schools group used intensified observations and post-observation discussions to try to upgrade a person's performance during a special review situation (which might last for one to two years). The onus was basically on the individuals concerned to improve themselves after receiving feedback. Only in two cases were training needs identified as a result of the special review discussions of performance, otherwise it was up to the individuals to "shape up".

d) Discover performance problems: The results for the Schools group are very similar to the results for the Business and Colleges group in that the formal evaluation of teachers was not used to discover performance problems. Instead, principals become aware of performance problems through indirect observations and unsolicited information on a teacher's performance (these sources of data are discussed later in section 2.5.). This means that a sensitive administrator is rarely taken by surprise during teacher evaluation and instead uses the occasion as an opportunity to verify concerns or confirm previous impressions. This tendency presents a problem if the principal is misinformed or biased in some way prior to the evaluation. A second problem is that teacher evaluations commonly consist of classroom observations, but some problems in a teacher's performance may occur outside of the classroom.

Performance problems can be discovered during the evaluation of new teachers with whom the principal has little experience or may be discovered among probationary teachers who do not yet have a permanent certificate. Three of the Schools group sample used teacher evaluations and forms of competency testing to discover performance problems (or competency problems) in non-certified, probationary teachers. The administration of these tests was done either at the State (Georgia, Connecticut) or County (Montgomery) level and once teachers were certificated, they became the responsibility of local school boards for subsequent evaluation.

e) Assessment of promotion potential: This was another major difference from the Business group. Both the Colleges and Schools samples operated on the philosophy that careers for teachers were basically to remain as teachers whereas the businesses assumed that professionals would eventually progress up the hierarchy of the organization (starting with the supervision of other professionals). In this sense, the colleges and schools are more like professional bureaucracies than the Business group. Consequently, performance evaluation in the business sample was often concerned with evaluating a person's potential for promotion as well as evaluating the current level of performance. Performance appraisal in the two education samples was predominantly concerned with evaluating how a person performed in their current job.

Some of the school systems have provision for career development within teaching (i.e., master teachers, advanced teacher certificate) and information from performance evaluation contributes to decisions on eligibility for the higher level positions. However, none of the appraisal systems evaluates a person on potential to be a master teacher. Instead, qualifying is a matter of having a record of good appraisals, seniority, and advanced education, usually an M.Ed. or equivalent.

In summary, the purposes of teaching evaluation found in these schools show a concentration or emphasis on formative evaluation more than summative. The general focus is on observing the teaching process and giving periodic feedback on the observed performance for the purposes of support, counselling, and professional development. The use of appraisals for summative purposes such as decisions on compensation, transfers, promotions, or retention is very rare. Instead the pattern seems to be that if a person's performance is rated as being at least minimally acceptable or satisfactory as a result of formative evaluations, then eligibility is established for routine applicability of summative outcomes. The exceptions to this pattern are for new probationary teachers and experienced probationary teachers (i.e., special review cases).

In the school jurisdictions which have a strong emphasis on certification of probationary teachers, there is a close linkage between formative evaluations and summative evaluations, as failure to qualify for certification results in automatic dismissal. However, it should be noted that qualification for certification is based essentially on knowledge and competency tests rather than actual teaching performance. As was stated in one site interview, "we can certify that people know how to do their jobs, but we can't certify that they actually do their jobs". Consequently, the ultimate linkage between formative and summative evaluations is still not very close in most school systems.

2.2.3 Comparisons Between Business, Colleges, and U.S. Schools Groups

Table 3 provides a summary comparison between the three samples on a number of general purposes served by the appraisal systems. Some of the purposes may be implicit in a number of organizations (i.e., to improve student learning in schools), but are only listed in this table if they were explicitly articulated at the sites. Thus there can be a difference between the way an organization states the purposes of an appraisal system and the way that the organization actually uses the appraisal system. Another example of this concept is the use of evaluation results for summative personnel decisions, such as compensation, tenure, and promotions. The majority of the Business group are explicit in stating that such information has a direct linkage to personnel decisions, but the majority of schools and colleges refer to such information as possible "inputs" to personnel decisions. This means that appraisal information may be called into play if performance problems arise or are identified in some way, or that personnel decisions, such as compensation progression and seniority accumulation occur automatically as long as a person's performance is "satisfactory". However, all of the sites studied admitted that appraisal information has to be the basis for taking action and justifying such actions if performance problems occur. In these situations there is a direct link between formative performance appraisal and summative personnel decisions in all organizations.

Table 4 provides a summary comparison of more specific, routine purposes of appraisal systems between the three samples. The major differences appear in aspects which are more

Table 3

Current Objectives and Purposes of Appraisal Identified for the Organizations in the Study

Objectives/purposes	Business(5)	Colleges(5)	U.S Schools(7)
	(number who claim these objectives)		
1. Improve student/client learning	1	1	1
2. Improve quality of service/teaching	2	5	3
3. Improve organization management	5	2	2
4. Improve professional development	5	3	4
5. Provide a direct link to personnel decisions	4	-	-
6. Provide inputs when required for personnel decisions	1	5	3

Table 4

Specific Purposes of Appraisals

Specific Purposes	Business Group (5)	College Group (5)	U.S. Schools (7)
	(number who claim these purposes)		
1. Seniority maintenance	3	5	7
2. Eligibility for performance pay	3	0	0
3. Identify training needs	5	5	0
4. Discover performance problems	1	0	0
5. Document performance problems	5	5	7
6. Assesspromotion potential	5*	0	0

*Note: The Business group distinguish between assessing competence as a professional and assessing potential for promotion. A good record of performance as a professional is a prerequisite to eligibility for promotion. Special performance appraisal techniques (i.e., assessment centres, trial runs as supervisors, and acting project co-ordinator roles) are used for appraisal of promotion potential.

characteristic of business organizations (i.e., performance pay, promotion potential). Another major difference is that identification of training needs is common to business organizations. This purpose should be just as prevalent in the U.S. Schools group given the emphasis on professional development found in most of these sites. The absence of this purpose in the Schools group suggests that the emphasis on professional development is not consistently followed through for individual teachers. Instead, the general approach to professional development in the schools is feedback, coaching, and guidance; general school board professional development activities; and individual initiatives in training activities.

2.3 APPRAISAL DESIGN AND TECHNIQUES

2.3.1 Business and Colleges Groups

In this section, aspects of the various systems are described in terms of formal requirements independent of the content of the appraisals. The structure and format of appraisal systems are used to establish certain minimum standards for administration of a system and can be used for monitoring compliance with at least some aspects of system requirements. The dimensions described in this section are:

a) Generality of appraisal method in the organization;
b) Process focused system;
c) Results focused system;
d) Format of appraisal methods;
e) Interim feedback policy.

Each of these dimensions will be discussed in turn for the Business and College groups.

a) Generality of appraisal method: This section is concerned with whether a different appraisal system exists for supervisors and subordinates, and secondly whether the same types of appraisals are used at the same level of jobs between departments. In other words, are universal or local versions used for all positions within a given rank or are there departmental specializations of appraisals?

In terms of hierarchical specialization, the dominant pattern is to have different forms and procedures for jobs in different levels of the hierarchy so that the usual division line exists between professionals and supervisors of professionals. The rationale for this is that operating professionals are usually engaged in professional service while supervisors are engaged in the management of professionals and possibly other organizational activities as well (i.e., planning, client relations). However, a case can be made for the argument that the same work dimensions exist in both a professional's and a supervisor's job, but the application or the focus of these dimensions is different. This is the philosophy of the system used at the two business organizations (A, C) which used the same appraisal system for all levels of the hierarchy (within the professional service part of the organization). An example of this concept for a school system would be:

Job Dimension - Planning

i) For teachers - preparation of curriculum, lessons

ii) For principals - preparation of budgets, staffing.

In terms of local versions of appraisal systems, there is less consistency of pattern. One of the Business group and three of the College group have appraisals that are different from one department to another. In the case of business E, an organization-wide standard appraisal system is used for managers and supervisors but a different system is used for the professionals in the training department. In two of the colleges, different systems of appraisal are used for instructors in different departments but department heads are all evaluated by the same system. At another college, each instructor can choose his or her own personal set of evaluation questions from a college list for the preparation of individualized course evaluation forms. Each instructor has to include a mandatory set of questions, but then can choose his or her own supplementary questions.

In all of these systems with local versions of appraisals, there is still a core of minimum universal requirements for the appraisal of everyone, but differentiation is allowed for local special needs. In this way, cross-departmental and inter-person comparisons can still be made if necessary.

b) Focus on work processes: In types of work where outputs or results are difficult to measure or assess, appraisals are often done on the process of the work or how a person actually does the job. Process appraisals are also important where an organization has established some routines or procedures which must be satisfied. Examples are the scientific method, due process in law, standard nursing or medical routines.

In terms of focus on process in appraisal, there is a clear difference between the practices in the Business group and the College group. The Business group organizations tend to assume that professionals can be left alone to choose methods to do their job as they see fit (within boundaries of minimum standards and organization rules and policies). Process does not become an issue here unless problems in other aspects of performance start to occur. In the colleges, there is a very strong emphasis on quality of teaching and the maintenance of quality through training for educators and upgrading of professional knowledge. The standard methods of process appraisal are classroom visits by department heads, student evaluations, and occasionally peer evaluations. Generally, the teaching process is less closely examined in detail for post-probation teachers unless problems seem to be indicated.

The one business firm that focuses on process is the accounting firm (D) which has to ensure that its professionals follow standard accounting procedures and special procedures unique to the firm in order to satisfy legal requirements and give the firm some distinction from competitors. The accounting firm can be said to focus on certification of probationary employees in much the same way as many school systems. The colleges do not have a formal certification or competency testing process, but all the colleges use probationary appointments for new employees and a careful assessment of teaching competency is done before a tenured or longer term contract is offered.

c) Focus on work results: This is generally found in a goals-based organization where it is felt that results can be measured or assessed in some meaningful way. For example, students being able to pass provincial licensing examinations could be a result goal for a laboratory technicians program at a CAAT.

At first glance, there is no particular difference between the Business group and the College group in terms of focus on results, in that neither group has a strong emphasis on results in appraisals. However, a very strong difference emerges when future plans are considered. All of the Business group either focus on results now or plan to with changes in the appraisal system now in progress. In the College group, only one college has such plans. The source of the difference seems to reside in the emphasis on commitment to planning for results at higher levels of the organization. All of the Business group are strongly committed to detailed future planning and incorporating departmental planning into the planning that goes on in association with performance appraisal.

The one college that uses results-focused appraisals also has a strong commitment to organizational and departmental planning which in turn influences the content of appraisals. This point will be discussed further in the discussion of individual contributions to organization plans.

d) Formats of appraisal methods: This section is concerned with whether an appraisal system uses trait ratings, checklists, ranking methods, numerical ratings, structured or semi-structured essays, observation scales, and so on. Combinations of various methods are possible depending upon different aspects of performance being appraised. Rather than describing the various formats in detail, Table 5 presents a summary of the frequency of different formats used. To some extent, the choice of an appraisal format is predetermined by (or follows from) the performance criteria or indicators of performance used in appraisals. In other words, if student reactions to a teacher's behaviour are going to be used as criteria for evaluation, then there is a strong likelihood of a student rating scale format being used. However an alternative format would be to examine how many students avoid taking a certain person's course or how many drop out.

Table 5

Formats of Appraisal Systems in the business and college Groups

Formats	Business Group(5)	College Group(5)
	(frequency of use of a format)	
1. Summary essay, memos, etc.	3	5
2. Tests, rating scales, client evaluations	2	5
3. Checklists of traits, abilities	4	4
4. Forced-choice comparisons	0	0
5. Critical incidents record	1	0
6. Ranking	2	0
7. Semi-structured observations	0	3
8. BARS, BORS	0	0
9. MBO - action plans	4	4
- results	4	1
10. Peer group appraisals	1	0
11. Self-evaluations	2	3
12. Semi-structured essays	3	5
13. Numerical summary of performance levels	3	0

A significant difference between the two groups is the greater use of rating scales, client observations, and semi-structured observations in the College group. The College group also tends to make greater use of semi-structured essays and summary essays, while the Business group makes greater use of numerical summaries of a person's performance. The other main difference in the Business group is the use of MBO systems with specification of action plans and results. The colleges which use MBO approaches tend to concentrate more on action plans and are less specific about expected results.

e) Interim feedback policy: This refers to a philosophy or policy in the organization of requiring that persons know where they stand, so that when formal appraisals are conducted, there is very little reason for any surprises to occur. In some organizations, it may be possible that an employee would only obtain some sense of summative feedback during the formal appraisal session. If this were the case, it would be understandable that formal appraisals could be sessions to be dreaded or feared because one would never know what to expect. If a "no surprises" policy exists either formally or informally in the organization, then the actual formality of going through the appraisal should have less uncertainty associated with it. A "no surprises" policy is also a logical extension of a management philosophy which stresses feedback, communications, and counselling as routine parts of a manager's job. If these routines are done well or conscientiously, then subordinates should not be subject to a great deal of ambiguity about the status of their performance in the organization.

Among all of the businesses and colleges, there was a clear philosophy of full and timely communications between managers and subordinates so that interim feedback on performance was readily available. The interim feedback could be both for positive reinforcement or for investigation of symptoms or indicators of emergent problems. It was considered a part of a manager's routine responsibility to keep in touch with operations and the interaction between managers and subordinates was a two-way flow of progress reports and interim feedback. The only exceptions that might occur would be in situations of considerable delegation of responsibility to a subordinate who then operated with considerable autonomy. Normally such delegation was only done with subordinates in whom the manager had already developed sufficient confidence to leave essentially alone.

In summary, considerable variance in formats exists among the sites studied but few systematic differences appear between the Business or the College groups. All of the systems are quite formal and all involve fairly continuous dialogue between superiors and subordinates. The emphasis in most systems seems to be on establishing minimum standards of qualifications and performance for professionals and allowing a certain degree of flexibility in the practice of the profession, over and above the minimum standards. This feature will be examined further in a later section on dealing with performance problems.

2.3.2 U.S. Schools Group

a) Generality of appraisal method: A hierarchical difference in appraisal methods exists in all the U.S. Schools group but the dividing line varies. In six of the sample, administrators from the rank of principal upwards are evaluated differently from teachers. In two of the sites, teachers and principals are evaluated in a very similar manner and differently from superintendents. In all cases, administrators are evaluated on a goals-based or MBO basis and teachers are evaluated similarly in two systems. There were no differences found in approaches to appraisal between different types of teachers or schools within the same jurisdiction. Thus the appraisal systems tended to be universal across a job class but could be differentiated by job rank. This was also true for school districts which had separate appraisals for novice or probationary teachers. Figure 1 illustrates the general pattern of these results.

b) Process focus: A direct, specific focus on the teaching process existed in evaluations in six of the schools and indirectly in the seventh school system. These same six schools had developed standards or lists of teacher competencies to form the basis of evaluations of the teaching process. The lists of competencies were derived either from certification requirements or from teaching philosophy in a particular jurisdiction. One of the six sites used a checklist for observation of teaching competencies only as a means of monitoring or providing interim feedback to teachers. The seventh site planned to develop an appraisal system based on a list of competencies to establish minimum standards for teacher performance.

A key difference between some schools was the strong emphasis on teaching competence for the purposes of certification versus an emphasis on the continued use of competencies during the process of teaching. Two of the sites were primarily interested in establishing whether a person qualified in the required competencies; the other sites were more interested in monitoring the usage of the competencies.

Figure 1

Appraisal Differences by Rank of Position

Rank		Type of Appraisal
Administration	-	Goals/MBO Approach
Tenured Teacher	-	Process Competency or Goals/MBO
Probationary Teacher	-	Certification Standards

c) Results-focus: Four of the schools used some form of goal setting and action planning as the basis for appraisals. Two of these sites combined this approach with a direct focus on process evaluation, one with an indirect process evaluation and one with plans for more process evaluation. Thus the trend is definitely to use more of a hybrid system with combinations of process and output evaluation systems. This seems to be true particularly for the schools which have developed a set of teacher competencies and want to ensure that they are actually used in teacher performance.

Results-based systems can focus on action plans and/or results to be achieved. Two of the results systems focused mainly on action planning by the teachers. If the plans seemed to make sense and seemed likely to contribute to the achievement of goals, then it was sufficient to follow through on the plans without having to verify the actual goal results. As was previously discussed in Volume I of this report, such an approach is appropriate in a professional service organization where either output goals are difficult to measure or where end results take a very long time to achieve. An analogy would be the launching of a space probe to a distant planet. The action plans would all have to make sense and performance would have to be evaluated on interim results for years before the ultimate objective of orbiting the distant planet was achieved.

One of the sites focuses only on goals to be achieved and one of the sites requires teachers to develop both action plans and goals. The "goals only" school system has an extensive program of measuring student achievement called "mastery learning" and hence it is feasible for schools (and teachers) to establish quantifiable goals which they will work to achieve. Teacher competency and teaching processes are assessed by structured observations by principals and/or superintendents. The philosophy in this school system is that it is not necessary to have detailed action planning for specific goals if teacher competency is established, i.e., competent teachers can be left alone as professionals to achieve specific goals.

d) Formats of appraisal systems: The frequency of use of different formats for conducting appraisals is shown in Table 6. As with the Business and College groups, different combinations of formats can be used in the same school sites. Also as stated before, the focus of an appraisal system tends to predetermine the formats used in a system.

By far the most frequent format of appraisals was the use of semi-structured observations, either for the assessment of teacher competencies, the teaching process, or the achievement of action plans related to the teaching process or competency. The one organization presently using unstructured observations was actively working on the development of a set of competency standards so that a semi-structured observation format could soon be implemented. Tests, rating scales, and checklists were primarily used for evaluating competency for certification and occasionally for renewal of certificates. In general, the more structured, standardized formats are used for appraisals concerned with rather standardized, universal performance criteria having to do with certification and minimum standards of competencies.

The MBO type formats tend to be used where the school jurisdiction has an active goal setting and planning system for the schools themselves or for more experienced teachers with well established professional competency. Three of the schools sites have a two-stage format of appraisals: certification, competency or process formats for newer, less experienced teachers, and action planning/results formats for more experienced teachers. The use of MBO formats is also a way of individualizing the appraisal format for more experienced teachers which is important for questions of professional or career development.

Table 6

Formats of Appraisal Systems in U.S. Schools

Formats		U.S. Schools(7)
1.	Summary essays, memos, letters, etc.	3
2.	Tests, rating scales	4
3.	Student evaluations	2
4.	Checklists of abilities, skills	3
5.	Forced-choice comparisons	0
6.	Critical incidents record	1
7.	Ranking	0
8.	Semi-structured observations	6
9.	Unstructured observations	1
10.	BARS, BORS	0
11.	MBO - action plans	3
	- outputs	3
12.	Self-evaluations	3
13.	Peer evaluations	0
14.	Numerical summary of performance	2

e) Interim feedback policy: While persons interviewed at all school sites indicated that it was highly desirable to provide interim feedback to avoid surprises and provide support in the formal evaluation process, none of the sites had a formal policy on providing interim feedback. Three sites claimed that their systems were too big or too centrally administered for teachers to be able to receive interim feedback on any regular basis. Instead the appraisal tended to be a once a year, formal process, and sometimes done in a perfunctory manner if a principal had a very large staff to supervise. This problem was especially acute in two of the three systems which used an MBO system of appraisal. This situation suggests that the MBO system in these two sites is not achieving some of its purposes in the areas of coaching and development.

The four other sites relied essentially on day-to-day relationships between principals and teachers for interim feedback on performance. This sort of feedback is informal and not directly related to the appraisal system. This is especially true in two of these sites which do not use MBO and focus primarily on competency and process. In these cases, the competency testing and process observations are formally scheduled and not likely to be done on an interim basis. This provides little opportunity for a principal to have any formal information about a teacher's performance outside of the evaluation process, except in exceptional circumstances. The other two school sites use action-planning MBO systems which provide lots of opportunities for interim monitoring of performance and, hence, opportunities for more frequent consultation and discussion of performance.

2.3.3 Comparisons Between Business, Colleges, and U.S. Schools Groups

Table 7 provides a summary of the information in the three samples. From Table 7, it can be seen that all three types of samples have a hierarchical difference in approach to appraisals. Without exception, administrators and managers use a goal setting and action planning style of management and their performance is evaluated either on the completion of their plans or the results they achieve. In general, this goal setting and planning by administrators is done in the context of organization goals and plans. Between divisions or departments, a uniform format of appraisals is used by sites in both the Business and U.S. Schools groups. Only in the Colleges were some examples found of different appraisal practices being used for jobs at an equivalent level in different departments in the same organization. While it can be argued that the nature of work in one department may be sufficiently different between departments to justify different appraisal methods, it should be recognized that such practices are open to claims of inequity in the organization. The other difference in generality is that most of the U.S. Schools had a strong emphasis on certification or competency evaluation for entry level jobs which was not found in either the colleges or the business organizations (with the exception of the accounting firm). This means that many of the U.S. Schools group had to verify competency after a person was employed while the other organizations assumed competency at the time of hiring and instead concentrated on verifying level of performance.

In terms of the focus of appraisals, both the colleges and the U.S. Schools had a pronounced focus on process in their evaluation systems while the Business group had a

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Table 7

Comparisons Between Business, College, and U.S. Schools Groups

Appraisal Design and Techniques	Businesses (5)	Colleges (5)	U.S. Schools (7)
a) 1. Differences in hierarchy	5	5	5
2. Differences across divisions	1	3	0
b) 1. Focus on certification/competency	1	5	6
2. Focus on work processes	1	5	7
c) 1. Focus on action plans	4	4	3
2. Focus on results	4	1	3
d) Formats of appraisals			
1. Summary essays, memos, letters, etc.	3	5	3
2. Tests, rating scales	2	1	4
3. Student/client evaluations	1	5	2
4. Checklists of abilities, skills	4	4	3
5. Forced-choice comparisons	0	0	0
6. Critical incidents record	1	0	1
7. Ranking	2	0	0
8. Semi-structured observations	0	3	6
9. Unstructured observations	0	0	1
10. BARS, BORS	0	0	0
11. MBO - action plans	4	4	3
12. MBO - results	4	1	3
13. Self-evaluations	2	3	3
14. Peer evaluations	1	0	0
15. Numerical summaries of performance	3	0	2
e) Interim feedback	5	5	4

pronounced focus on results. Some of the U.S. Schools had a hybrid approach by focusing on process and results but this was less frequent in the other two samples.

In terms of formats of appraisal systems, the Business group had all but abandoned any form of ratings, checklists, or observations and concentrated almost exclusively on action plans and results. The Colleges made extensive use of student evaluations with some structured observations of teaching and some use of MBO formats. The U.S. Schools made almost universal use of competency, testing, rating, and structured observations, with only some use of MBO formats and student evaluations. The greater use of student evaluations by the colleges reflects the tuition relationship and market sensitivity of the colleges, while the certification, competency, and observation formats in the U.S. Schools reflect the belief that good teaching contributes to good results. Whether or not good results are actually produced may not be easily testable or measurable in the U.S. Schools, but the logic of such systems is that good results are likely to follow in varying degrees from good teaching.

Finally, there is much greater emphasis and practice in both the Business and College groups on interim feedback to subordinates on assessments of their performance. This is generally an informal process as part of the routine interactions between supervisors and subordinates. This is less so in the U.S. Schools group due to wide spans of control in some sites or centrally administered appraisals in others. The businesses and colleges place a high emphasis on managers and supervisors being in close touch with operations while the schools tend to be more "loose-coupled" in operations.

While some distinctive differences in the patterns of approaches to appraisals do stand out between the three samples, there are exceptions in each sample. One business has a very high emphasis on the equivalent of certification and competency evaluation and one school makes extensive use of detailed action planning and results specification. Despite the generality of the patterns identified, the exceptions illustrate that alternative approaches to appraisal are possible for organizations in the same field or profession.

2.4 CRITERIA OR STANDARDS FOR APPRAISAL

The identification of criteria or standards of performance is a crucial aspect of performance appraisal. This requires answers to questions of what makes a person effective (competencies) and how can effective performance be systematically recognized (process or results). Obviously validity and reliability are very important here. The criteria or standards must be accurate representations or reflections of effective performance and must be consistent over time. The difficult aspect of identification of criteria in professional service jobs is that many people believe they can recognize good performance when they see it, but are hard pressed to define it in explicit terms or dimensions. Moreover, it is just as difficult to identify causes, requirements, or qualifications for good performance. Common compromise solutions to this conundrum are to adopt simple rule-of-thumb indicators of what is believed to be good performance or else leave the judgements about performance to other professionals in the same kind of work. This latter option of judgement by peers is very common in professional bureaucracies. In the sections which follow, criteria or standards for performance appraisal will be examined at the sample sites in terms of the following dimensions:

a) job descriptions,
b) minimum standards specifications,
c) process standards specification,
d) results specifications,
e) professional development plans,
f) contribution to organization plans,
g) compatibility with organization culture,
h) narrow or whole job orientation in standards.

2.4.1 Business and Colleges Groups

a) Job descriptions: These are used to provide a list of any of qualifications, duties, activities, responsibilities, or results to be expected of incumbents in a particular job in an organization. In some organizations, job descriptions are quite general with little specificity, either due to lack of attention to detail or to preserve flexibility in work assignments and expectations. In other organizations, job descriptions are quite specific and detailed and are part of an elaborate personnel administration system involving close linkages between job analysis and compensation structures.

Job descriptions are the essential foundation of an appraisal system. Some concept of a job description must exist (implicitly or explicitly) before an appraisal can be conducted, i.e., actual performance must be compared to some sort of performance expectations before an appraisal can be conducted. A formal job description therefore provides some minimum standard of performance expectations and in this way should provide some baseline performance expectations for a particular job. In the absence of formal job descriptions or with very general job descriptions, the necessary baseline of performance expectations is not established.

In both the Business and College groups, it was clear that every organization uses formal job descriptions, but the jobs for professionals are stated in general terms to allow latitude for differences in assignments or flexibility in the application of professional skills. The job descriptions tend to be more specific on minimum levels of professional qualifications to occupy a job (similar to certification or competency specifications) and beyond that, an assumption exists that the professionals themselves will determine a large part of their job content. Only one organization (the accounting firm) has tried to develop more specificity of job descriptions for different ranks in the organization and this specificity as well is mostly concerned with minimum criteria of professional qualifications. The general absence of specificity on work processes and work outputs in job descriptions allows a lot of opportunity for professionals to negotiate work assignments. Negotiated work assignments are done in MBO goal setting and planning processes, which, in effect, create unique or individualized job descriptions (over and above minimum standards) for different professionals.

b) Minimum standards specification: The specification of minimum standards to occupy a job position can occur in two ways; either by a set of credentials or qualifications which must be possessed to enter or remain in a job, or by a set of minimum performance standards which must be maintained. An example of credentials would be the requirement to remain a member in good standing of some professional licensing body or to continue to qualify for renewable certificates. Minimum performance standards might be a requirement to receive teaching evaluations ratings of at least two out of five. Minimum standards specifications can be listed in job descriptions but can also exist in statements of personnel policy or operations policies, or may be developed more informally as cultures or traditions in an organization. Whether in the job description or not, minimum standards specifications form part of the employment contract between the organization and the individual.

The specification of minimum standards of performance provides advantages to both supervisors and subordinates. Supervisors have some baseline or bench mark standard with which to compare a person's performance, and performance levels near the danger zone can more easily be recognized. In addition, if performance falls below minimum standards and remains there despite suitable efforts to upgrade performance, then grounds for terminating the employment contract are more easily established. For the individual subordinate, specific minimum standards provide the opportunity for realistic self-appraisal and provide protection from whimsical or personally biased judgements by supervisors. In other words, the conditions and terms of the employment contract are open and equally available to both parties, which is as it should be in contractual relationships. It is when the minimum expected standards of performance are unspecified and exist in some nebulous zone of ambiguity that the potential for disputes becomes magnified.

In the Business group, two organizations had specific minimum standards of performance. The training organization required all training professionals to maintain a minimum standard for course evaluations and the accounting firm required all professionals to qualify for and maintain certification as a chartered accountant. Moreover, the accounting firm established a clear hierarchy of knowledge and competencies which had to be mastered before a person could progress from one level in the organization to another. The other three business organizations had less specific minimum standards since so much of their performance evaluation was based on goal setting and plans. While it was clear that sustained, inadequate performance on goals and plans could not be tolerated, the actual level of performance which constituted inadequacy might vary from person to person. Attempts to have consistency and equity in performance evaluations across jobs and departments by meetings of managers to reach consensus on evaluations were made in two of the Business group. This process helped to alleviate problems of inequity, but the floor or baseline level of acceptable performance was still not clearly established and could change from year to year.

In the College group, some specification of minimum credentials, certification, or competency was done in departments where the teaching was devoted to preparing students for licensing in particular trades or professions. Only persons already possessing professional certification were hired in these areas, but the appraisal system in the colleges did not attempt by their own testing to verify whether the person was actually qualified to hold such credentials. In terms of teaching evaluations, the general requirements were to maintain satisfactory course evaluations and to keep up to date in their field, but no minimum standards were specified for either course evaluations or keeping up to date. Since most of the colleges do intensive observation and evaluation of the performance of probationary teachers in order to weed out unsatisfactory performers at an early stage, there are actually few cases in the colleges of tenured teachers' performance falling near the nebulous danger zone.

c) Process standards specification: This can be an elaboration of a process focus such that benchmarks or guidelines are defined for various aspects of the process in professional service work. Appraisals then can be a matter of assessing whether or not the specified guidelines are followed. Process standards can be specified for a job without the standards necessarily being the focus of the appraisal system. For example, standard medical procedures may be specified for a surgeon but the appraisal may focus on results (did the patient survive?) more than the process. In this case, process specification just establishes minimum standards of process to be followed. If some problems occur with the results, then the process may become the focus of examination, but otherwise the process remains as a necessary but not sufficient condition of acceptable performance.

Despite the strong emphasis on teaching quality in the colleges, the specification of process standards is much less common in the Colleges than in the Business group. Most of the process specification consists of action plans that people agree to or negotiate as the means by which they will do their job or achieve their goals. This can range from negotiation of planned standards of process quality or approaches, or can be special commitments to try to do a job in a particular way. For example, a research action plan can be a fairly detailed commitment to perform duties in a certain way, by certain dates, and up to certain standards. The results from the research plan may be difficult to evaluate but performance on the plans themselves can be assessed as quasi-results. Because organizations in the Business group tended to use more goal-setting and action-planning in the normal supervision of operations, there was also a greater use of performance on action plans as a specific criterion for performance evaluation. In the Colleges, action plans tended to be used more as substitutes for specification of results than process specification. This is because many results might be difficult to measure but the successful completion of an action toward those results is easier to assess and can be used as a quasi-result.

Whether an action plan is a process specification or a results specification is sometimes difficult to determine and will be treated differently in different organizations. For example, a professional in a training organization may have the following goal and plans:

Goal: to earn a profit of $x on training programs in year 198x.

Action Plan: develop and market four training programs on teacher evaluation.

Result: one training program will be offered in each quarter of 198x and each program will contribute at a minimum 1/4$x to profits.

The action plan in this example is a process specification because it describes how a result is accomplished or the process by which a result is going to be achieved. If the result specification was not available, then one might take the action plan itself as a quasi-result, i.e., if four programs are developed and marketed, there is a chance that some part of the goal may be achieved.

Process specifications are considerably easier to determine if the organization has a particular philosophy or normative model for the conduct of professional service. For example, if there is an organizational commitment to a style of teaching, such as in a Berlitz language school, then it is fairly easy to develop process specifications for professionals in the organization. If there is no commitment to any philosophy or method, or if the method is only vaguely articulated, then it is obviously much more difficult to be specific about process. Only one business organization (the accounting firm) had a well developed commitment to a particular approach to professional service work and this was coupled with very detailed process specifications.

d) Results specification: This is an elaboration of a results-focused appraisal system to provide greater precision or clarity on whether or not desired results were achieved. Defining a results goal as "95% of those students graduating from our laboratory technicians program will pass their provincial licensing examinations" is an example of specification of results criteria. Criteria can be further elaborated by defining timetable and budget requirements for results.

Specification of results or definition of results criteria does not always accompany a focus on results in appraisals, but in this case all of the Business group either use or plan to use specification of results in varying amounts of detail. While specification of results is criticized for making the planning process more cumbersome, it can be argued that it greatly aids the objectiveness of the appraisal process.

While goal setting and action planning are used at the administrative level in all of the colleges, their use at the instructor level is much more limited. Only two of the colleges have plans to use organization goals as inputs into negotiated job assignments with individual instructors. Otherwise it is often left unclear as to how departmental goals are going to be achieved without some sort of translation into duties and responsibilities of instructors. Goal setting and action planning do exist at the instructor level in plans for professional development and curriculum development. Since most of the instructors are considered to be satisfactory or better in terms of course evaluations, their discussions with supervisors often concern personal goal setting in these other areas. In most cases, completion or progress on the action plans is taken to be a results specification rather than an elaboration of what would be achieved when the action plan is completed. The following example illustrates this concept.

General goal: to keep up to date with development in a field.

Action plan: will attend a 3-day workshop for training in the use of ... (some new technique, machine, etc.).

If the action plan is completed, it is presumed that some progress is made toward achieving the general goal and the actual result to be achieved (i.e., will be able to operate the new machine, will be able to teach others to operate the new machine) is left unspecified. Generally, action plans can be acceptable as quasi-results specifications if the plans seem to be sensible or consistent with the achievement of the general goal.

e) Professional development plans: While appraisal systems have to examine past performance on work requirements, it is also possible to incorporate into the appraisal some aspects of professional development plans or future activities for individuals. These can be used for maintenance of professional skills (i.e., keeping up to date); upgrading or adding to existing skills; or working to bring performance up to required minimum standards. The assumption here is that professionals should always be concerned with at least maintenance of their professional skills and adding this aspect to the formal appraisal system makes the assumption explicit.

All of the organizations in the Business and College groups either use or plan to use professional development plans as part of the content of appraisal. It is actually more accurate to say that professional development plans are part of the planning that follows appraisal. This occurs in the dialogue between a supervisor and subordinate when the appraisal part of the process is completed and negotiations turn to plans for the coming period. It does not necessarily follow that professional development plans have to be made in all cases. The point is that allowance for such plans is on the agenda for the planning discussion. These plans become a much more serious issue if performance problems or shortcomings are being discussed. This point will be discussed in more detail in a later section on probationary employees.

Despite the apparent attention paid to professional development plans, they are not necessarily used as content for evaluation in appraisals the following year. If people say they are going to take certain courses or learn certain skills as part of their plans, then omissions or completions of these plans are often merely noted in the following appraisal while the major emphasis in appraisals still lies with results from work performed. An exception again occurs with employees on probation.

f) Contribution to organization plans: In principle, if professionals do their service work conscientiously, then they should be contributing collectively toward the general goals of the organization. However, if the organization chooses to pursue some new venture, direction, or change in operations, then some change in professional behaviour or some different type of work over and above routine may be required. For example, if the organization decides to achieve a higher public profile or a special reputation, then professionals who conduct work with publicity value or who enhance that reputation may be appraised differently from those who are less visible to the public. Similar consideration could also be given to performance in committee or administrative work which helps the organization to achieve its goals.

Assessing a person on their contribution to organization plans is presently used in three of the Business group but not any of the Colleges. However, this aspect of appraisal is in the process of being implemented in all of the Business group and in three of the College group. This future trend in the majority of the sites studied makes this an important departure from past practice and is a logical development from the use of an MBO system at the managerial levels of the organizations. All of the Business and College group organizations have adopted MBO or similar managerial systems in recent years as a strategy for coping with scarcer resources and more difficult operating environments.

Appraising a person on contributions to organization plans requires that the organization itself have a strong commitment to short- and long-term planning. These plans in turn are subdivided into plans and goals for departments or divisions and become part of the appraisal content for department heads. If the department heads then negotiate a series of assignments with subordinates to achieve the departmental plans, then performance on these assignments can be valid content for appraisal of the subordinate's performance. For example, a goal of a department in a college may be to develop a close relationship with a particular industry both to keep up to date with industry practices and to facilitate placement of graduates. An individual teacher may have an assignment or negotiated goal to establish a liaison role with one major employer in that industry to help achieve the departmental goal. Thus an additional aspect of performance would have been added to or specified for the person's normal professional responsiblities to the organization.

This change in appraisal may represent a shift away from traditional professional roles, or an addition to traditional roles, or merely specification of what was previously an implicit expectation of professional performance. Shifts in roles can occur as organizations try to adapt to changes in the environment and additions to roles may occur as organizations try to operate with tighter budgets. Greater explication of a person's contribution to organization goals may be due to re-analysis of job descriptions or the need for justification of certain jobs.

g) Compatibility with organization culture: This usually is a nonspecific content area of appraisals. Very few organizations are explicitly aware of their culture and some may have no particular sense of organization culture at all. Others may have quite a strong sense of what kind of behaviour, lifestyle, or work style seems to fit well or not fit with their organization. This is a sensitive area in which to conduct interviews and appraisals may be highly prone to bias or even prejudice when organization culture assessments are made. For the purposes of this study, organization culture was looked at in two ways: does there seem to be a strong sense of organization culture, and are parts of it at least made explicit in the performance appraisal? For example, one business organization likes its professionals to be active as public speakers so that the organization gains a wider reputation, but this expectation is not made explicit in the job descriptions or in the appraisals. Subordinates are expected to figure out this requirement for themselves and if they don't, they are considered to be operating below some minimum of expected standards of performance.

The cultural expectations that exist in an organization are a very grey area in performance appraisal. Usually cultural expectations are concerned with minimum standards or expectations of conduct for people working in the organization - in effect, a social contract between the employee and the employer. Because these expectations are embedded in the culture of the organization, they are rarely made explicit in job descriptions but instead are taken for granted as behaviour standards for someone who wants to fit in with the organization. Explicit cultural expectations are standards of performance that are considered to be especially important to the organization and failure to satisfy them can be cause for poor evaluation of performance. For example, few job descriptions for professionals would state that a person must not be under the influence of drugs or alcohol on the job. This expectation would just be part of the organization culture, but when it is critical to the work of a professional (such as an airplane pilot), then it becomes specified as part of the performance requirements.

In this case, three of the Business group and two of the College group had explicit cultural expectations as part of the content for performance appraisal. The content of these expectations varies from one organization to another, but some examples from different organizations are:

- a professional's research work should be of a standard that would be acceptable to a critical academic audience (business),
- a professional has to be an entrepreneur and build up the size of his or her business within this organization just as in private business (business),
- a professional should be active in the industrial community and be recognized as a source of advanced knowledge for the industry (college).

It is also possible that extraordinary performance on some of these cultural expectations can result in superior performance ratings. For example, one organization tends to give superior ratings to professionals who achieve a high, personal, professional reputation because this is felt to enhance the reputation of the organization.

Implicit cultural expectations are an even more grey area and often are not easily revealed in site interviews. Consequently, the information gathered about implicit culture may have to be obtained by inference and, hence, may be inaccurate. Nevertheless, in some organizations, the implicit culture may have a strong influence on certain fundamental personnel decisions, such as promotion to a higher level position or access to certain organization privileges, such as travel to conferences. The danger with implicit expectations is twofold: first, they can be construed as bias or prejudice in the organization, and second, they can cause people to waste a lot of energy trying to guess what some of the implicit criteria are and thus be distracted from their primary work.

In these samples, none of the College group were observed or felt to have any significant implicit criteria for performance. Perhaps this situation is due to the presence of a bargaining agent for the instructors which tends to force the organization to be more careful about appraisal criteria. Only three of the Business group were felt to have some significant implicit cultural expectations of performance which could influence the appraisals of performance in the organization. None of these criteria were felt to be discriminatory or in violation of human rights, but could cause some problems for people in trying to guess just what the extras were that the organization was looking for in performance. Usually the impact of these criteria in appraisal occurs in the distinction between average and better-than-average performance.

For example, the implicit culture in one organization favoured a lifestyle for professionals which involved a lot of community activity, such as volunteer work, being on the boards of associations, memberships in clubs, and so on. This was the lifestyle practiced by the senior management of the organization and this lifestyle was felt to be useful to indirectly enhance the reputation of the organization in the community. Consequently the same sort of lifestyle was expected of subordinates in the organization without being made explicit in job descriptions or performance appraisals. People who failed to perceive these expectations could rarely obtain more than "satisfactory" or "average" performance ratings and likely would not be promoted above a certain level because they did not adequately fit the organization image.

h) Narrow or whole job focus in appraisals: This section refers to whether the organization tries to evaluate multidimensional aspects of a person's work in an effort to capture the wholeness of a person's work. Narrowness would refer to the practice of conducting evaluations on only some aspects of a person's work, either for convenience's sake or in the conviction that the few aspects are an adequate reflection of the whole performance.

The Business group had a somewhat greater tendency toward wholeness in performance evaluation than the College group. This is reflected in the tendency of organizations in the Business group to use greater specification of plans and results, greater use of assessment of contribution to organization goals, and greater sensitivity to compatibility with organization culture. In other words, the Business group tend to be more specific in looking at professionals in terms of whether they will be "good citizens" or "good members of the family" as part of the appraisal process. This aspect of performance evaluation is achieved by a multidimensional approach to appraisal which looks at a wide variety of performance dimensions.

The colleges may be just as concerned about whether a person is a good citizen of the organization or whether a person does a good whole job in the organization, but the colleges tend to have a narrower focus to evaluations. Evaluations in the colleges concentrate mainly on student evaluations of courses or instructors and some classroom observations by department heads. The many other aspects of an instructor's work may be discussed informally or in the context of annual appraisal or professional development discussions, but these are not part of the evaluation of performance. Consequently, it is possible in the colleges for an instructor to concentrate efforts solely on the narrow aspect of obtaining good teaching evaluations while paying little attention to other parts of an instructor's responsibilities. This is not actually the case in the sites in the College group, but the possibility is greater in the College group than in the Business group due to the more narrowly focused appraisals in the colleges.

In summary, considerable disparity in content exists in the sample but some trends are clearly evident. First, the College group tend to be more process focused, but less specific in terms of either process or results specifications. Secondly, all of the sites are moving toward greater use of organization and departmental planning and the appraisal of people on their part in contributing to these plans. Thirdly, cultural expectations of performance have ostensibly a greater impact on appraisals in the Business group than in the College group. Finally, appraisals in the Business group tend to be more multidimensional or whole-job oriented than in the College group.

2.4.2 U.S. Schools Group

a) Job descriptions: Two of the U.S. Schools do not have job descriptions for teachers although such descriptions exist for principals and other administrative positions. Three of the schools had quite general job descriptions for teachers and two sites had quite specific job descriptions which included minimum criteria for certification in the job specifications. In one of the schools which avoided the use of job descriptions for assessment purposes, the opinion of some administrators was that the evaluation of teachers on the basis of adherence to job descriptions would foster unnecessary inflexibility in task performance and provoke disagreement among participants concerning relevant job tasks. However, even at one of the schools which used a very general job description for teachers, there were still disputes as to what was in a teacher's job and for what a teacher could be held accountable. Some of the schools with general or job descriptions simply relied on the State job descriptions for teachers. This was especially the case where State-mandated certification or evaluation standards existed.

b) Minimum standards specification: In one sense, all of the U.S. Schools group specified minimum performance standards in that all teachers had to qualify for a State teacher certificate. Two of the State certification programs were very rigorous and consisted of both knowledge qualifications and demonstrated competency in a series of attribute and performance criteria. The other five States essentially accepted a person's academic credentials and gave a person a certificate after some period of probationary teaching. However, three of the local school boards had their own form of certification criteria in addition to the State criteria. The local certificate was usually obtained after a person was rated as satisfactory in a series of competence dimensions developed by the local school jurisdiction. The competencies chosen by a local school board reflected their own definition of "what makes a teacher effective?" The other two local school boards did not have any list of basic competencies developed and instead tried to use MBO performance for teacher appraisal. Since MBO systems have the effect of creating individualized job descriptions, it can be said that these two sites did not have established minimum standards of performance.

Appendix 5 discusses the locally developed certification system in Montgomery County, Maryland, and Appendix 7 describes the MBO appraisal system in the City of Chicago.

The choice of competencies used by a school site whether at the State or local board level raises an interesting question about the philosophy or theory of teaching. It appeared that few of the school sites had an agreed-upon or chosen theory of education as a foundation for the development of a set of required competencies. Instead the common practice was to use a representative task force to develop a consensus list of competencies with varying degrees of criteria specification. Since no two sites answered the question of required competencies in the same way, support is given to the observation by Darling-Hammond et al.[1] that teacher effectiveness lacks a normative theory of education.

Instead we seem to see a phenomenon of local theories of education developed by the collective wisdom of the representative task forces, perhaps supplemented by the aid of consultants or with ideas borrowed from other school districts or publications (i.e., Madeline Hunter[2]). These efforts are not to be belittled, since the outcomes from serious deliberations by these task forces are most likely to be superior to armchair philosophizing by superintendents or elected school board professionals. However, there was only one example of a clearly stated theory of education in effect at one school board ("mastery learning" in Chicago) and only one case of active validation studies of required competencies (Georgia). The lack of a theoretical base for the establishment of required competencies and the lack of validation research on required competencies suggest that these minimum standards of required performance could be challenged as being somewhat arbitrary.

c) Process-standards specification: Five of the school sites had a set of process standards specified for routine and periodic evaluation of teacher performance. A sixth used a checklist of competencies as a means of conducting interim appraisals while the main appraisal used a three-year goals-planning system. The seventh school site used a goals-planning system exclusively, but was in the process of trying to develop a set of competencies with criteria specifications. This site planned to develop a competency list both to establish minimum standards for teacher evaluation and to have some basis for interim evaluation to accompany the goals-based system.

The number of competencies specified ranged from 8 to 14 in different sites and went by such names as "generic competencies", "critical specifications", and "performance dimensions". Most competencies were accompanied by criteria specifications so that a rater could make systematic judgements about whether a person was low or high on each competency. Two of the schools lacked a well developed set of criteria to accompany their competency lists and this was a high priority problem to be solved in these systems. One site (Chicago) claimed that their system of appraisals was based on the theory of teaching called "mastery learning" developed by Benjamin Bloom.[3] Two others mentioned the theories of Madeline Hunter,[4] as the basis for their lists of competencies. Otherwise, the competency lists were developed locally by task forces and consultants or borrowed and modified from existing instruments in other jurisdictions.

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[1] Darling-Hammond, L.; Wise, A. E.; and Pease, S. R.. "Teacher Evaluation in the Organizational Context: A Review of the Literature". Review of Educational Research 53 (Fall 1983), pp. 285-328.

[2] Hunter, Madeline. "The Teaching Process" and "The Learning Process". In Seifman, E., and Allen, D. (Eds.). Handbook for Teachers. Glenview, Illinois: Scott, Foresman, 1971, pp. 146-166.

Common to all of these competency approaches was the attempt to identify a series of teaching process behaviours and teacher attributes which were believed to be desirable in good teacher performance. The addition of specific criteria for each competency creates an appraisal system with a very high degree of process specification. In addition, all seven school sites used a system of classroom observation of teachers by either principals, consultants, or master teachers. In all cases the observer looked to see if teaching action plans were carried out as indicated in various teaching planning mechanisms (i.e., pre-observation conferences, written lesson plans, compliance with school or board policy). In six cases, the observer also rated the teacher's classroom performance according to the performance dimensions or competencies established for that school site. Since most of the teaching plans were stated in terms of behavioural activities, this created another form of process specification for teacher evaluation.

d) Results specifications: Four of the school sites had an evaluation system which used goal setting and action planning for teachers. Three of these sites did this on an annual basis and one site (Connecticut) used a 3-year period for teacher goal planning (see Appendix 4). All four of these sites required teachers to specify action plans toward their goals, but only one site (Chicago) actually tried to use results specification as well. The results specification in Chicago could occur in three ways: results consistent with the mastery learning philosophy, results associated with contribution to school objectives, or personal, professional development results (see Appendix 7).

The action plans used in appraisals generally have to do with teaching plans as discussed in section (e) above, or else personal professional development. The teaching action plans provide criteria for the classroom observer to look for or try to evaluate by other means. The criteria for professional development action plans are whether a person actually carried out the stated plans. In fact, it was stated in interviews at a number of these sites that while such personal actions may be discussed in post-observation or other appraisal conferences, they are rarely followed up or monitored. They were almost never used for appraisal decisions except for those cases of problem teachers under special review. In summary, very little results specification was used at any of the U.S. Schools sites.

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[3] Bloom, B. Taxonomy of Educational Objectives, Handbook I. New York: Longmans Green, 1956. Handbook II. New York: David McKay, 1964.

[4] Hunter, M. "Teacher Competency: Problem, Theory and Practice". Theory into Practice (April 1976), pp. 162-170.

e) Professional-development-plans: There were two types of professional development plans routinely in use (not counting salvage plans for special review situations) at six of the school sites. Two of the six sites used professional development plans in the appraisal process to get teachers to work toward their mandatory certification requirements. The second type of planning was for professional development over and above certification requirements or personal professional development. This was done at five of the six sites (one of the six had both certificate qualification and personal development planning). The personal professional development planning exercise was seen as an optional extra in most school sites - something to be talked about after the formalities of the evaluation of the teaching process had taken place. Only two of the school sites seemed to take professional development action planning relatively seriously and make it an integral part of the evaluation process (Appendix 4: Connecticut; Appendix 7: Chicago).

f) Contribution to organization plans: All of the school sites evaluate principals and other administrators on an MBO basis and contribution to organization plans is a well established criterion in such systems. However, only two of the school systems incorporate this criterion into teacher evaluation (Connecticut, Chicago). This does not mean that teachers are expected to take a large responsibility for the achievement of school organizational goals. Instead the principal is expected to discuss school goals with teachers and then try to see how some aspects of the school goals can be addressed in the teaching plans, curriculum objectives, or professional development plans of teachers. If teachers are observed to follow through on plans developed in the context of school or board objectives, then teachers are judged to be making a contribution to organization objectives.

g) Compatibility with organization culture: This was not a clearly definable aspect of teacher evaluation in any of the U.S. Schools group, but it was reflected in the implicit standards of performance in three sites. The implicit compatibility with organization culture came through as a performance expectation with references to "informal observations" used by principals in gathering information about teachers. The informal observations related to such aspects as classroom appearance, hallway monitoring, relationships with parents and peers, and attitudes toward teaching. Informal observations are an inescapable aspect of interactions between teachers and principals, but they can be similar to biases if the contents of informal observations are used as implicit standards of performance. Teachers who consciously or accidentally satisfy the implicit standards will be viewed more favourably than those who unconsciously or accidentally fail to satisfy such standards. The risk of bias would be more acute if the implicit standards had a strong effect on the outcomes of teacher evaluation, but there was no evidence of this being the case at any of the U.S. Schools.

Only one school site tried to use compatibility with organization culture in an explicit manner as a part of the standards of performance. This occurred in the Chicago Board of Education (Appendix 7) because of its commitment to the use of Bloom's "mastery learning" philosophy and what was called an Instructional Management Program (IMP) approach to teaching. In the IMP approach, teachers develop specific instructional objectives or modules, a teaching plan for achieving these objectives, and then student learning is evaluated at the end of each module. This approach provides for accountability of teachers for the results of their learning module plans. While the IMP system provides detailed process and output specification of criteria as discussed earlier in parts (c) and (d), it is also an explicit expression of the organization culture of the Chicago Board of Education. Teachers who are unable to work with this approach to education would be regarded as being low on compatibility with the organization culture.

h) Whole or narrow job orientation: Five out of the seven U.S. Schools have a relatively narrow focus in their teacher evaluation systems while two have a relatively whole job approach. Narrowness means that the evaluation systems concentrate on basically two aspects of a teacher's overall performance in the organization: qualification for certification or competency ratings, and observed performance on teaching competencies or action plans. While it is true that a major proportion of a teacher's time is spent in the classroom, not all of this time is spent in teaching nor are all of a teacher's duties and responsibilities confined to classroom teaching. Consequently, evaluation methods which focus only on teaching qualifications and activities fail to take into account the other aspects of a teacher's work. In terms of teaching being considered as a profession, the typical appraisal process reflects a narrow concept of what constitutes the practice of the profession.

The two school sites with wider aspects to teacher appraisal (Appendix 4: Connecticut; Appendix 7: Chicago) use results-oriented appraisal systems, encourage personal professional development plans over and above certification requirements, and have some evaluations of teachers' contributions to organization plans. Connecticut also has some implicit criteria for compatibility with organization culture while Chicago's expectations are more explicit. In other words, by evaluating teachers on a wider range of criteria, these two school systems are also acknowledging more of the wholeness of a teacher's job in practice. In this sense, the evaluations of the professionals are better matched with the work of the professionals than some of the more narrowly focused appraisal systems.

2.4.3 Comparisons Between Business, College, and U.S. Schools Groups

Table 8 summarizes the information in this section for the three samples of organizations. There is a roughly equal tendency among all three groups to have general job descriptions for professionals and little tendency to have very detailed job descriptions. However, two of the U.S. Schools do not have job descriptions for teachers at all, which is a significant difference from the Business and Colleges groups.

All three samples have established licence, degree, or certificate requirements as minimum basic standards for qualifying for a position but only some of the U.S. Schools group do their own additional certificate testing. The practice of defining specific competencies and professional service behaviours is far less common in the Business group than in either the College or U.S. Schools groups. The specific competencies and behaviours for instructors in the Colleges are defined in the student evaluation forms and for teachers in the U.S. Schools by the various competency criteria for certification.

Table 8

Comaprison of Standards and Criteria of Performance

Types of Standards and Criteria	Business (5)	Colleges (5)	U.S. Schools (7)
a) Job descriptions - general	4	5	3
- detailed	1	0	2
b) Minimum standards specifications			
- licence, degree or certificate only	5	5	7
- specific competencies; behaviours	2	5	4
c) Process standards specification			
- professional service behaviours, styles	4	3	6
- specific process plans, activities	1	4	7
d) Results specifications - plans	5	4	4
- outcomes	5	1	1
e) Professional development - plans	5	5	5
- outcomes	3	0	1
f) Contribution to organization plans	5	3	2
g) Compatibility with organization culture			
- explicit	3	2	1
- implicit	2	0	3
h) Appraisal orientation - whole	5	4	2
- narrow	0	1	5

It is fairly common in all three samples to have some specification of professional service behaviours or styles as part of the appraisal criteria. In the Business group, these would be agreed upon methods or corporate styles for professional service work and in the Colleges and Schools, these would be criteria specifications for the competencies required. (The criteria specifications are often written in behavioural terms or guidelines.) Only one of the Business group (accounting) also used specific process standards and criteria for appraisal, while this was far more common in the Colleges and Schools. These criteria consisted of teachers' lesson plans and teaching activities which then formed the basis for observations by principals or other supervisory personnel. This approach of using rating scale or semi-structured observations of a professional's work by a supervisor was practically non-existent in the Business group.

Instead the Business group was consistent in the use of results specifications for appraisal, both in terms of action plans and of specification results. The Colleges and some of the Schools were active in specifying plans for objectives, but rarely were results themselves specified. This means that completion of the plans themselves were accepted as results for evaluation purposes rather than verification of whether the plans actually achieved the intended objectives.

Professional development plans were used in all of the businesses and colleges and in many of the schools. The businesses tended to look more closely at the results of the development plans and therefore these were used more seriously for appraisal purposes than in either colleges or schools. In all cases, as previously stated, development plans and results were examined very carefully in special review situations of problem cases in performance. Another pronounced difference between performance criteria in business and the two types of educational organizations was the emphasis in the Business group on contribution to organization plans and compatibility with organization culture. These criteria are consistent with the greater use of goals-based management and appraisal systems in the Business group and the effect is to have a wider or more whole job approach to appraisals in the Business group. Despite the widespread use of MBO at the administrative levels of both the colleges and schools, instructors and teachers are evaluated by a much narrower range of criteria and consequently a narrower operational concept of the work of the professional.

2.5 SOURCES OF DATA ON PERFORMANCE

The sources of data used in performance appraisal are generally closely related to the design of an appraisal system (previously discussed in section 2.3) and the standards and criteria of performance (section 2.4). These sections described what sorts of data are required and what degree of specificity of the data is established. This section in turn is concerned with the question of who provides the data or from what sources the data are obtained. Thus a method for gathering performance data might be a checklist, test, or rating scale (discussed in section 2.4), but the person(s) who fill out the checklists and so on are the sources of the data. Also discussed in this section are two aspects of the administration of an appraisal system, the frequency with which formal evaluations are conducted, and the practices of having pre- and post-data gathering interviews. These aspects of the administration of performance appraisals are discussed in this section because they are closely tied in with the question of who provides the data for the evaluation of performance.

2.5.1 Business and Colleges Groups

a) Frequency of formal appraisal: While appraisals may be conducted informally on a continual basis, the question here concerns the frequency of formal appraisals required by the system.

In general, most of the business organizations used a twice-yearly appraisal system. The first meeting is used to evaluate the past year or six months results and plan for the coming year or six months. The annual appraisal is generally used for salary and other personnel decisions where applicable. The second or semi-annual appraisal is usually used for formative purposes and to review progress in some formal way toward the year's plans. Renegotiation of plans can occur in all the semi-annual appraisals if warranted by circumstances. No system was found which held people rigidly to the year's plans regardless of changes in circumstances.

It should also be noted that most supervisors claimed to have frequent, informal contact with all their subordinates in the course of ordinary working relationships. Consequently, evaluations of performance were occurring informally on a continuous basis and assignments or goals could be frequently modified. The purpose of the formal semi-annual meetings was to provide an opportunity for the documentation of cumulative changes and impressions and to formalize plans for the next period. Obviously, the semi-annual approach makes it much easier to conduct annual appraisals due to greater accuracy of records and increased frequency of feedback obtained from the semi-annual appraisal. The College group was divided in terms of frequency of formal appraisals with two using semi-annual appraisals in the manner described for the Business group and three using only annual appraisals.

b) Pre-observation conferences: In a sense, none of the Business group used formal pre-observation conferences between supervisors and subordinates prior to the gathering of information for a performance appraisal. However, virtually all of the Business group had an informal counterpart type of conference which served similar purposes. This was the annual planning session for goal setting and action planning where supervisors and subordinates discussed assignments and responsibilities for the coming year or half year. These meetings, in effect, establish the standards and criteria by which a person's performance will be evaluated in the coming period and provide guidelines to the supervisor on what to look for in gathering information about a person's performance. Thus these meetings serve the same purpose as does the pre-observation conference for principals and teachers, but the time lag between the conference and the observation is much greater in a business than in a school.

In the College group, two used formal pre-observation conferences and three had optional pre-observation conferences. The option could be used by an instructor seeking guidance or consultation and who wanted the observer to give feedback on a particular approach to teaching which the instructor planned to use. The option could also be used by the supervisor if there was concern about some aspect of an instructor's performance or for probationary instructors. Of course the colleges which used a goal setting and planning approach to supervision and appraisal would have the same informal pre-observation conferences as described for the Business group.

c) Post-observation conferences: These were formally used in all of the Business and College groups. Regardless of how data on performance was obtained, all of the sites had formal, semi-annual, or annual meetings scheduled for the discussion of performance and communication of the results of appraisal. All of the organizations combine the post-observation conferences with a discussion of plans for the next period of performance. The specificity of these subsequent discussions varied widely. In the case of problems in performance, the level of specificity was quite high in all organizations. Otherwise the level of specificity was as described in section 2.4 on performance standards and criteria. The major difference between the Business and College groups was that the post-observation conference in the businesses was devoted to observations or data on the whole year's (or half-year's) performance, with no particular emphasis on data gathered at one special time. The post-observation conference in the colleges came soon after the student evaluations and/or the supervisor classroom observations. Consequently, the focus of the discussion tended to be on these sources of data even though peformance was supposed to be evaluated for the whole or half year. The effect of this is to cause the focus of evaluations to be somewhat narrower in the colleges than in the business organizations.

The next section deals with four main sources of data that can be used to provide information for performance appraisal: direct observations by supervisors, self-reports on performance, client reports on performance, subordinate reports and client performance, and monitoring by supervisors or indirect observations. The use of tests, checklists, and rating scales as sources of performance data is not covered here as this was discussed previously in section 2.4.

a) Direct observation by supervisors: This refers to formally scheduled observations of performance, or could also include incidental direct observations of performance (i.e., recording of critical incidents). The classification used here is whether or not direct observation is a formalized part of data gathering for appraisals.

All of the College group use this method which is consistent with the high priority on teaching excellence at all the colleges. However, the frequency of direct observation varies widely among colleges and within departments in colleges. Generally the observations are more frequent and taken more seriously for teachers on probation and are less frequent or intensive for well established teachers with no indications of problems. Some teachers request observation by supervisors if the teachers feel they are having difficulty in some area and they want advice from the supervisor. Observations are structured in three sites and unstructured in two sites.

Direct observations in the Business group formally occur in only two cases and both of these are due to the organization's emphasis on process specifications (scientific method or experimental procedure in one case; proper accounting procedures in the other). Otherwise the supervisors in the Business group tend to operate on a management by exceptions procedure and make note of critical incidents which are examples of good or poor performance. While critical incidents can be later used as illustrations or examples when giving feedback on performance, the recording of such incidents was informal in all organizations.

b) Self-reports of performance: This usually involves subordinates having to fill out a form or write an appraisal of their own performance and having to submit it to the supervisor prior to the appraisal interview. Significant discrepancies between the supervisor's and the subordinate's perceptions or appraisals of performance are then the major subject of the appraisal interview. If there is little discrepancy between the two appraisals, then the process can proceed more smoothly.

There is no particular pattern of use of this data method across the sample. In the Business group, self-reports are used in three cases where supervisors operate on a management by exceptions basis. In the College group, three colleges use self-reports as a matter of local style in addition to direct observations by supervisors. There is a distinction between having to report on one's own performance and having to evaluate or rank one's own performance according to some standard. All of these self-report systems required subordinates or instructors to propose some personal rating of their performance to their supervisor (i.e., "Rate yourself as being 'superior, above average, average, below average, unsatisfactory' in terms of your performance for the year"). Obviously there is little chance of persons rating themselves below average, but the key point is whether or not a discrepancy is found in the ratings done by a supervisor and subordinates.

c) Reports and evaluations by clients: Data gathered from clients, customers, or recipients of services can be either on the process or the output aspects of a professional's work or combinations of both. Many client appraisals fail to make a distinction between the two aspects of a professional's work and this can cause difficulties in performance appraisal. For example, the professional may achieve desirable outputs but the clients may not like the process used. Secondly, many organizations seem to think that client service is the only important part of a professional's work and therefore fail to evaluate other aspects of the job (such as committee work, community relations, or aid to co-workers).

All of the Colleges and three of the Business group use evaluations by clients, which is consistent with the nature of professional service work. Professionals in the the Business group firms which do not use evaluations by clients are generally employed in internal professional service work and rarely have direct contact with clients. Therefore this method of data gathering would have little relevance for them. Of course these professionals could be said to be servicing internal clients (other departments), but data are not systematically or formally gathered from these sources. In all the other cases, the supervisors in the organization systematically and formally survey clients/students to obtain data on the performance of the professionals for use in the appraisal process. Informal data gathering from clients can also be done and this is discussed further in a later section on monitoring by supervisors.

d) Subordinate reports and client performance: These two sources of data are discussed together because they are so rarely used despite being discussed in the literature as suitable sources of performance data. Subordinate reports or evaluations of a supervisor's performance should be an important indicator of the dimensions of a supervisor's job that require interaction with subordinates. According to Mintzberg,[5] other managerial roles would be interactions with suppliers, other managers, or clients. Client performance could be an important indicator of the ultimate worth of a professional's services (i.e., response to treatment, amount of learning, behaviour change). Using this sort of information in performance appraisal is similar in many respects to conducting a program evaluation of a department of an organization or a particular approach to professional service.

In the Business group, none of the sites had any formal provision for subordinate reports on a person's performance although this was an important aspect of informal observations on performance - see section (e) which follows. Two of the Colleges used teacher questionnaires for ratings of department heads as part of the information gathered about a supervisor's performance, but the other three used informal observations. For client performance criteria, two of the Business group tried to obtain this information for use in appraisals. The training department (organization E) does six month follow-up surveys of graduates from training programs to see if the long term course evaluations are consistent with short term evaluations (a reliability test). Graduates are also surveyed as to whether they actually learned or changed their behaviours as a result of the program (a validity test). This information is used more for course evaluation than instructor evaluation if problems are suggested by the follow-up surveys. The accounting organization (D) is required by government and professional society regulations to monitor the impact of professional service on clients. Poorly performed accounting services can result in legal infractions or lawsuits, consequently it is important for the accounting firm to verify not only that the professional service appears to be well done, but also that the service produces good results. In the colleges, two sites kept records of student performance in certification and licensing exams for trades, that are relevant to their programs of study in the college. These results were used for analysis of departmental performance more than for evaluation of individual instructors.

e) Monitoring and informal observation by supervisors: This is a normal requirement of a supervisor's job but there are many different styles or approaches to monitoring. Some use a management by exceptions approach whereby assignments are delegated to subordinates and the supervisor only wants to hear about end results or significant interim problems. Others follow a much closer approach to monitoring and may hold weekly or even daily meetings with subordinates to go over short-term plans and results. Of course the approach can also vary with the probation status or degree of confidence the supervisor has in the subordinate. Supervisor monitoring also is consistent with a "no-surprises" policy, but if overdone, can be perceived by subordinates as undue interference from supervisors (especially by the more competent subordinates). In this section, the question is whether supervisors actively monitor subordinates and maintain files or records of interim performance to be used eventually for the summative appraisal.

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[5] Mintzberg, H. The Nature of Managerial Work. New York: Harper and Row, 1973.

Styles of monitoring and informal data gathering vary widely but all supervisors interviewed reported that they monitor subordinates' work both formally and informally. In many cases, the supervisors cannot help being involved in monitoring, because if problems do occur, clients or co-workers usually talk to the supervisor first rather than to the professional in question. This is especially true in the College group where supervisors commonly reported being besieged with unsolicited information from students about different courses and instructors whenever a problem started to occur. It was then the supervisor's task to get involved and start monitoring the situation to see what was going on. In other words, the exceptions used in a management by exceptions style tend to be revealed more by co-workers and clients than by subordinates themselves.

Monitoring, of course, is not always based on problems. Supervisors in the course of their work as co-ordinators and information centres for a pool of semi-independent professionals have to be involved in a continual series of discussions and negotiations with individuals, subgroups, and with the group as a whole. In this way, the supervisor again cannot help forming interim impressions of each person's progress and capabilities between the formal appraisal sessions. Whether supervisors are systematic or comprehensive in this informal data gathering is another question. The impression gathered from the interviews is that supervisors tend to form global impressions of a person's performance and these may be subject to various sources of bias such as halo, recency, or critical incidents.

This sort of data gathering is also commonly used for appraisals of whether a person fits in with the organization culture. Since the organization culture is rarely defined explicitly in terms of performance and qualification dimensions, appraisals of compatibility with organization culture can rarely be based on specific sources of data. Instead, the supervisor has to act as an unofficial representative of the culture and use impressionistic judgements about whether a person fits or not. Again this is a process which is extremely susceptible to bias, which probably explains why so few organizations try to be explicit about such appraisals. However, fit with culture can be a very important aspect of a person's performance, particularly if people are required to work in a highly interdependent fashion or if they are expected to act as public representatives of the organization.

In summary, most of the standard sources of data gathering tend to be in use in most of the sample. A strong emphasis on client evaluation is used where the professional service work is directed toward external clients such as students, trainees, conference audiences, and business clients. Self-reports and evaluations also seem to be used as substitutes for direct observation by supervisors in the Business group. However, the most common and apparently the most important source of data is supervisor monitoring and informal observations of performance and this is also the least structured and the most vulnerable to bias. Obviously this points to a strong need for supervisor training in appraisal if an organization is going to continue to rely strongly on this method of data gathering for appraisals.

2.5.2 U.S. Schools

a) Frequency of formal appraisal: Formal appraisals are conducted on an annual basis in three of the U.S. Schools sites, every two years in one site, and every three years in two sites. The longer periods in formal appraisals are for established teachers with permanent or long term certification. Shorter periods of time are used for new or probationary teachers. One school site with a three-year period for formal evaluations uses a goals-planning appraisal system (Appendix 4: Connecticut) and allows this period of time for the development of progress in teacher goals. A checklist appraisal is used annually as a means of conducting interim appraisals on classroom performance between the triennial appraisals. The greater length of time allowed between formal appraisals in many of the schools is consistent with the heavy emphasis on teacher certification in appraisal. Once certification is achieved or competency in required attributes is established, the appraisal system tends to back off a bit and become less intensive and frequent.

b) Pre-observation conferences: These types of conference are mandatory in two school sites and optional in two other schools. Exercise of the option can come from a teacher seeking advice or consultation, or from a principal seeking clarification of what should be looked for in observation of a teacher's performance. Since few schools use goals-based appraisals, there are less opportunities in the schools for goals-planning meetings which act as informal pre-observation conferences. Where a goal setting/action planning system is used in the schools, then the effect of a long term pre-observation conference is achieved in the same manner as described for business organizations (Section 2.5.1.b).

c) Post-observation conferences: These sorts of conference are required for all of the sites in the U.S. Schools group. This is an integral feature of teacher evaluation as practiced in the U.S. Schools and has great potential usefulness for feedback, coaching, reinforcement, or correcting. These conferences can also lead to discussions of professional development plans or to goal setting and action plans for the coming performance period. However, the usefulness of the post-observation conference for feedback purposes is somewhat diminished if there is no pre-observation conference. Without such a conference, the principal may not be aware of what to look for or what the teacher is trying to do in the classroom situation. There is less of a problem if the principal is using a standard rating scale or semi-structured observation guide for the classroom visit, as both parties then know which aspects of teacher performance will be observed for appraisal. However, if the school uses a system of teacher goal setting and action planning, and if observations by the principal are the prime means for assessing progress on these plans, then a pre-observation conference to discuss these plans is crucial.

The next section deals with the same four sources of appraisal data that were discussed for the Business and College groups (direct observations, self-reports, client reports, and supervisor monitoring).

a) Direct observations by supervisors: This type of observation is used in all seven of the U.S. Schools group, but one (Georgia) also requires observations by assessment centre appraisers and master teachers. Some of the schools use observations by master teachers and consultants for problem situations or special performance review cases, but Georgia uses expert observations for everyone for certification requirements. The City of Chicago (Appendix 7) also tries to use occasional classroom observations by district superintendents, but this is for the evaluation of principals. The purpose is to see if the principal's goals are being reflected in the behaviours of teachers. This is only done on an occasional basis due to the large number of schools in each district.

The format of classroom observations was discussed previously in section 2.4, but basically there are two types of formats for observations. Either the performance dimensions and criteria are pre-established so that the principal can use a checklist, rating scale, or semi-structured observation guide, or the dimensions are discussed with teachers in a pre-observation conference. In this latter case, the principal may use a standard format for the minimum standards appraisal, but also pay special attention to teacher behaviour which is relevant to the teacher's goals and plans. Thus the teacher and principal have negotiated an individualized observation format which satisfies the minimum requirements of the school board and the individual professional development needs of the teacher. This sort of observation system is advocated by Dr. Glen Tecker at Educational Testing Services in New Jersey[6] and was in use in varying degrees in the sites which used goal setting and action planning approaches to teacher evaluation. All seven of the school sites indicated that they wanted teachers to develop action plans for teaching, but only two required pre-observation conferences to discuss these plans. The lack of pre-observation conferences means that principals either have to guess or infer what a teacher is trying to do in observing the teacher's behaviour or confine the observations to the criteria in the standard checklist.

b) Self-reports on performance: These types of report were used in two school sites (Appendix 4: Connecticut; Appendix 5: Montgomery County, Maryland) and teachers were encouraged to discuss these reports with principals in pre-observation conferences. Then the principal could use the formal observations as a means of verifying the self-judgements of the teachers and discussing the results in the post-observation conferences. While this overall process is more complex, it does require serious discussion between teachers and principals on what constitutes effective performance and how to recognize it. The dialogue also provides opportunity for discussion of professional development and requires the principal to be an effective and credible counsellor to teachers. The requirements for both principals and teachers in this sort of system are more demanding, but the potential payoffs in improved levels of professional service seem to be significant.

c) Client reports on performance: Client reports for teachers normally refer to student evaluations of courses but could also include parent evaluations as part of the client-set. Only two sites (State of Georgia and Montgomery County, Maryland) formally used student reports on teacher performance. In Montgomery County (Appendix 5), teachers are required to administer course surveys to students twice yearly, but the information is for the purpose of

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6. Based on interviews with Dr. Glen Tecker at Educational Testing Services, Princeton, New Jersey, October 24-25, 1982.

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teacher feedback rather than appraisal. It is the teacher's option whether the student survey results are disclosed to the principal. Those teachers seeking either advice or counsel or wishing to provide evidence of good performance would normally share this information. In Georgia, students of pre-certificate teachers are surveyed with questionnaires based on the same list of teacher competencies as used by the regional assessment centres. Questionnaires have even been designed for use by primary school students where the students choose a "happy face, neutral face, or sad face" to respond to questions read to them by an assessor. Student responses are part of the multi-dimensional/multi-method teacher evaluations used by Georgia for the purpose of State teacher certification. Once a teacher is satisfactorily certificated, these highly detailed methods are no longer used until the five year renewal period for a certificate comes up.

The remaining five school sites do not formally use student evaluations and instead, student reactions to teacher's performance are inferred from classroom visits or from indirect sources of information (discussed in a later section). Since few schools use student performance results and student evaluations of teachers as indicators of teacher performance, it is obvious that a very heavy burden is placed on classroom observations for the assessment of teachers.

d) Subordinate reports and client performance: Only one school site (Appendix 5: Montgomery County, Maryland) formally used teacher surveys on performance of principals. This information was gathered by a superintendent and discussed with principals in concert with other sources of data on a principal's performance. Three other school sites reported that this was also done on an informal basis by superintendents and this is discussed in the following section. Student performance on learning modules was formally monitored in the Chicago system (Appendix 7) and student performance on standard achievement tests was used in Georgia. Both of these systems used student performance data more for program evaluation than performance evaluation, although it is possible that some school, department, or teacher could eventually be identified as a source of extraordinary performance (high or low) in concert with program evaluation. Four other schools reported informal monitoring of student achievement levels, but no formal program evaluation of an approach to teaching, certification, or particular school or department. In California, the use of standardized student achievement tests for teaching evaluation are prohibited by law. Consequently, many of these school systems are operating with appraisal systems that take it as an article of faith that the particular certification criteria, lists of competencies, goals and plans are actually producing ultimate results.

e) Supervisor-monitoring and indirect observations of performance: Supervisor monitoring consists of the day-to-day interactions between principals and teachers where it is inevitable that a principal would form impressionistic judgements on the competency of teachers. Indirect observations are unscheduled, informal, or accidental observations of teacher behaviour by the principal as well as unsolicited feedback from parents, students, and other teachers. In the role of administrative co-ordinator for a school, it is inescapable that a principal would be barraged by a flow of indirect observations and impressionistic evidence of a teacher's performance.

Five of the school sites reported use of indirect observations in performance appraisal to supplement the formal data gathering described earlier. The impressionistic evidence may not actually be used for summative evaluation purposes, but was commonly used for formative purposes, i.e., feedback on performance, discussion of problems, discussion of plans and activities. These formative uses are an integral part of the supervisor's responsibilities for communication, feedback, and problem-solving with subordinates. The other two sites (Georgia, Oakland) undoubtedly have the same supervisory responsibilities for principals but the appraisal systems there are concerned with formal certification (Georgia) or achievement of results (Oakland). Impressionistic evidence is not part of the certification criteria in Georgia and only performance with respect to goals and plans is considered legitimate (by teachers) in Oakland.

The problem with informal observations and impressionistic evidence is that these are probably the predominant sources of data on a person's performance, yet the least structured or systematic. Opportunities for bias and inaccuracy are frequent, yet the potential for validity and wholeness are very high, i.e., the data is simultaneously rich and risky. In addition, these are the sorts of data which are typically used in assessments of compatibility with organization culture. Since dimensions of culture are unspecified, the methods of assessment are also nonspecific. Consequently, informal observations are rather risky to use for summative evaluation purposes, but could be used for formative purposes if the observations are fair, above board, and openly discussed.

2.5.3 Comparisons Between Business, Colleges and U.S. Schools Groups

Table 9 summarizes the results for each of the three groups of organizations. The Business and College groups have much more frequent formal appraisals than the U.S. Schools although the average practice across all three samples is to have a formal annual appraisal. The use of bi-annual and tri-annual formal appraisals in the U.S. Schools sites was generally reserved for senior, tenured teachers in whom principals had a lot of confidence. Provision was made in all organizations for shorter term formal appraisals where problems seemed to exist. However, the schools with up to three years between formal appraisals do run a greater risk of performance getting out of hand or being difficult to correct by the time that a formal appraisal concludes that a performance problem exists.

Despite frequent recommendations in the literature, the use of formal pre-observation conferences was not common in either the colleges or the schools. Many of the educational sites had such conferences as an optional practice, but the exercise of the option was not especially frequent. This seems to be a shortcoming in appraisal practices where so much depends on classroom observations by principals or department heads. As was stated previously, many supervisors follow standard observation forms or rating scales in conducting the observations so perhaps it can be argued that there is not much to be discussed in a pre-observation session. It was also claimed at some sites that the sheer magnitude of the number of required classroom visits prohibited much opportunity for discussion beforehand (and afterwards). However, for those systems which require their teachers to develop teaching strategies, lesson plans, and so on, it would seem necessary for a principal to have a

Table 9

Sources of Performance Appraisal Information

Sources	Business (5)	Colleges (5)	U.S. Schools (7)
a) Formal Appraisals i) semi-annual	4	2	-
ii) annual	1	3	4
iii) two years	-	-	1
iv) three years	-	-	2
b) Formal pre-observation conference	0	2(+3 optional)	2(+2 optional)
c) Formal post-observation conference	5	5	7
d) Formal direct observation - supervisors	1	5	7
- experts	0	0	1
e) Formal self-reports of performance	3	3	2
f) Formal reports by clients/students	2	5	2
g) Formal reports by subordinates	0	2	1
h) Formal measures of client/student performance	2	2	2
i) Supervisor monitoring and informal observations by supervisor	5	5	7

pre-observation conference in order to establish what the principal was supposed to be looking for in the classroom visit.

The Business group do not use any form of formal pre-observation conferences but instead rely on the annual planning and goal setting discussions to accomplish the same purpose. These discussions also alert the supervisor as to what to expect and look for in a subordinate's performance, but the time period could be for up to a year and the observations less formal.

Post-observation conferences are used by all of the organizations in the study. The difference between the educational organizations and businesses is that the conferences in colleges and schools take place very soon after the formal observation of performance. In the Business group, the post-observation conference is the semi-annual or annual appraisal conference which serves as the summative evaluation of the overall performance for the period. In terms of learning theory, the practice in the educational organizations is more effective because feedback occurs shortly after the observed performance. The effect is similar to a formative evaluation even though the intent is to be summative. On the other hand, the practice in business is to try to take a whole job perspective for the whole period of performance and these appraisals would not be as susceptible to recency bias as might be a teacher appraisal.

Formal, direct observation by supervisors was the most common source of appraisal information in both of the educational groups and was almost non-existent in the business group. This means that educational organizations rely extensively on observations by department heads or principals as the most basic source of appraisal information. Although they are aided by checklists, rating scales, criteria references, and observation guides, the performance appraisal of a teacher ultimately boils down to what a supervisor observes in a classroom. Obviously this places a considerable burden on such supervisors to be competent observers so that the data derived from this source are valid and reliable. The other obvious problem with formal direct observations by supervisors is the short time period, the relative artificiality, and the narrow focus of such an approach.

To compensate for these limitations, most organizations tend to use some supplementary sources of information about a person's performance. A few in each sample used self-reports on performance by subordinates/teachers, and some used reports or evaluations by clients or students. Student evaluations of courses and teachers were used in all of the colleges due to the high emphasis by CAATs on good quality teaching (and the implicit assumption that students could provide valid information about teacher performance). The colleges were also careful to try to distinguish between evaluation of a course (which is akin to program evaluation) and evaluation of an instructor. Formal reports or ratings by subordinates and teachers were used in a few cases in colleges and schools for the evaluation of principals or department heads. There did not seem to be any problems with acceptance of this procedure.

Formal measures of client/student performance were used in a few sites in each of the three types of organizations. In all cases, this information was used more for program evaluation or evaluation of an organization than for individual professionals within the organization. Of course program and organization evaluation can be used for evaluation of the responsible administrator because it is consistent with the use of a results-based appraisal system for administrators and managers. No evidence was found of student performance criteria being used for the evaluation of individual teachers or instructors, although this could be done if some individual professional were found to be responsible for the negative (or positive) results of such program evaluations.

Finally, the most common source of information in all three samples was monitoring and informal observations by supervisors. As stated previously, this sort of information is inevitably acquired as a result of the routine interactions between people working together in an organization. It is part of the supervisor's role in an organization to convey expectations about performance, to give feedback on whether performance is consistent with expectations, and to provide help and counsel where required, or support and recognition where merited. In the course of these duties and responsibilities, the supervisor cannot help acquiring a cumulative series of impressionistic judgements about a subordinate's performance. In addition, supervisors typically find themselves to be recipients of a variety of unsolicited information about performance in the organization. Unfortunately these are often complaints, but occasionally can be compliments. As well, if there happens to be a sufficiently well established culture peculiar to the organization, supervisors can find themselves in the unofficial (and unconscious) role of socialization agent for the organization.

All of these factors combine to place a burden of responsibility on supervisors similar to that described for direct observations of performance. In this case, however, the supervisor is not usually aided by a clear set of guidelines, competencies, and criteria for making informal observations and impressionistic judgements. Supervisory monitoring and informal observations provide a rich source of data about a person's work performance and help to capture the wholeness of a job better than many of the formal sources of data. The challenge is to minimize the likelihood of bias or limited validity and reliability in such data. The existence of this challenge highlights the need for training in performance evaluation for supervisors since they seem to be the key link in virtually any form of performance appraisal found in this study.

2.6 TRAINING AND PREPARATION FOR APPRAISAL

In this section, and in the sections which follow, the results will be reported and discussed for all three samples together. There is less detailed information presented from this point onwards and all three types of organization are similar in their results. Table 10 provides the summary results. The results previously reported in this study have established that the supervisor plays a pivotal role in evaluation of performance. The supervisor is the primary communicator/negotiator of expected standards of performance, the primary observer or data gatherer about performance, and finally, the primary deliverer of feedback to subordinates about how their performance is perceived and evaluated. It also follows that the supervisor can also be the primary counsellor or consultant to subordinates on either

Table 10

Training and Preparation for Appraisals

Types of Training and Preparation	Business Group (5)	College Group (5)	U.S. Schools Group (7)
1. Formal support systems	5	5	7
2. Informal support systems	5	5	7
3. Formal training for supervisors	2	1	2 (+2 optional)
4. Informal learning for supervisors	5	5	7
5. Formal Orientation for subordinates	5	5	7
6. Informal learning for subordinates	5	5	7

Note: Organizations could obviously use formal and informal practices together.

professional development or improvements to performance. In recognition of the importance of these supervisory roles, it should follow that organizations provide considerable support and training for supervisors on how to do performance evaluation. In a larger sense, it also follows that organizations should provide considerable support and training for supervision in general, but this is not the focus of this report.

Organizational support for supervisors can be provided by policy manuals, competency and criteria guidelines, administrative support systems, and the availability of consulting services on appraisal methods. Support can also be provided by the assistance of experts for appraisals (master teachers, senior professionals), by meetings of supervisors to pool appraisal information and evaluations, and by consultation with higher levels of management in the organization.

Training for conducting appraisals can also occur in many forms, ranging from informal learning and coaching to formal courses. Informal learning can occur from exposure to and practice with the appraisal support systems provided by an organization. The combination of studying procedural manuals, working through a series of appraisals, and receiving coaching from a senior administrator may provide in time a supervisor who is competent in the appraisal role requirements. On the other hand, the informality of this learning process could also produce several shortcomings in the supervisor's knowledge and skills.

Formal training can supplement any of the informal learning, but can also provide foundations, standards, and uniformity for the appraisal process. These characteristics of an appraisal process help the organization to improve validity, reliability, and equity in the appraisal system, but only if the training itself is relevant and competent.

All of the sites in the three samples in the study had extensive manuals, procedures, and policy guidelines on performance evaluation available for supervisors. Support was also provided by the respective personnel departments in the form of administration of the system to ensure that appraisals were done on time, according to procedures. (Some might perceive this as pestering by the personnel department rather than support.) Direct support was also provided in most businesses, colleges, and schools by having supervisors discuss appraisals with someone from a more senior level of management. This secondary level of discussion accomplished two purposes. Senior managers were kept in touch with general levels of performance of a wide range of personnel, and evaluations of personnel between divisions or departments could be monitored. This procedure was important for the early identification of performance problems and for ensuring equity of treatment across divisions in a particular organization.

Formal training in conducting performance appraisals was quite different between the samples. Only two of the Business group and one of the College group had formal training programs for supervisors in how to conduct appraisals. It appeared that most supervisors were supposed to learn how to do appraisals by some of the informal methods described earlier. On the other hand, four of the U.S. Schools had some form of appraisal training although it was optional in two sites and subject to budgetary cutbacks. The three other U.S. School sites relied on detailed procedural manuals and informal learning.

A similar pattern is found when one distinguishes between training to launch a new performance appraisal program or a new approach to appraisals and training for maintenance of a program. All the U.S. Schools, and some of the businesses and colleges, had formal introduction and briefing sessions for administrators and supervisors when new performance evaluation programs were introduced. However, the level of maintenance training or training for subsequent new supervisors rapidly dropped off. These findings raise some doubts about the thoroughness of the commitment to effective performance appraisal programs which exists at senior levels of management, or suggests a strong belief in the efficacy of informal learning about a system.

Finally there is also the question of training of subordinates in the appraisal process. Conceivably, subordinates should be equally well trained in how the system is supposed to work and what is to be expected of them in the appraisal process. This sort of training is generally done in the orientation phase of subordinate training where briefings are given on the organization's policies on benefits, compensation, work rules, and evaluation systems. The six U.S. Schools which have established definite competencies as requirements for certification or probation evaluation all make sure that these are well understood by subordinates. The same is true for the accounting business firm which has well established competency criteria. The organizations which use goal setting and action planning appraisals also make sure that subordinates understand how the system works. Thus in general, the three groups of organizations did try to convey to subordinates the sorts of performance expectations that will be used for appraisals and the formal methods by which information on performance will be gathered.

This orientation or training allows subordinates to be somewhat self-managing in that they know to some degree what is expected of them and how these expectations will be evaluated. This is consistent with the notion that professionals should work in a fairly independent manner, largely self-responsible for the guidance of their conduct. What is missing, however, is training in how subordinates should behave in the processes of evaluation; i.e., the setting of goals and action plans, the development of performance criteria, the preparation of self-evaluation reports, and the discussion of development plans. How to perform well in these sorts of activities did not seem to be the subject of formal training in any of the study sites and it seems to be something that has to be learned informally through interaction with the supervisor. Thus one more role burden is suggested for supervisors: training and counselling of subordinates in how to go through the appraisal and evaluation process.

2.7 SPECIAL CASES AND ORGANIZATION JUSTICE

The detailed arrangements for special review performance problem situations and for provision of organization justice vary widely from site to site, but the general principles are much the same. The elaboration of procedures is normally much greater in the unionized colleges and schools than in the business organizations. However, the personnel departments in some businesses have developed equally detailed procedures in the absence of a union. As has been previously stated, legal trends are forcing all organizations to be much more careful and thorough in dealing with problem situations than in the past. The results in this section will be discussed in two parts: probationary employees and established employees.

a) Probationary employees: Almost all of the organizations in this study provided a fairly stable work environment with job security or quasi- or formal tenure available to persons with satisfactory performance evaluations. The two exceptions were businesses: one with an "up or out" policy and the other with the expectation that many professionals would leave after 3-5 years to find higher level career opportunities elsewhere. For most of the organizations in this study, a psychological or implied contract exists between the employer and subordinates that once the probationary period of employment is satisfied, then job security is essentially assured. The exception to this implied contract is, of course, the possibility of subsequent inadequate performance.

Along with this implied contract of quasi- or formal organization tenure, there is also the implied commitment of the organization to using internal sources of human resources for most higher level staffing needs (i.e., for all supervisory and managerial jobs, but excluding specialists and perhaps very senior executives.) Thus it is incumbent on the organization to be very careful about who is recruited to work for the organization, and especially, who is allowed to stay after probationary employment. It follows then that the organizations in this study should all pay very close attention to the assessment of professionals during the probationary period of employment.

As previously described in this report, six of the U.S. Schools have quite detailed evaluations of probationary teachers. The content of the evaluations focus on both subject area knowledge and competency on whatever criteria for good teachers have been established by the school jurisdiction. Formally or informally, the school jurisdiction creates a certification process in addition to the teaching certificates one might earn from a teachers' college. The probationary period of employment lasts until the completion of the certification process. Once the person has been assessed as qualified or competent (within the allowed time limits), then the teacher is in effect licensed to practice in that school jurisdiction. The seventh U.S. School site is a school board which accepts the certificates issued by the State for admission to probationary employment and then looks to see if a teacher receives satisfactory performance ratings during the probationary period. There are no special criteria, detailed appraisals, or attempts to create local certification for probationary teachers in this seventh site.

The general pattern of probationary evaluation in the U.S. Schools is as follows:

Established standards or criteria → Probationary employment → Standardized # tests or trials → Qualify or not qualify

The period of probationary employment may last from one to two years and opportunities for repeat tests or trials may be provided, but the ultimate result is the same. If a person fails to qualify by the mandatory probationary period, then the teacher is not allowed further employment in that school jurisdiction. Opportunities to receive counselling and coaching are generally available for teachers who are having difficulty in qualifying, but the conditions of dismissal or acceptance are clear and objective. Thus there are no legalistic disputes concerning dismissals as a result of failing to qualify during the probation period.

The colleges also pay very careful attention to instructor performance during probation because of the concern for instructor quality and the fact that few instructors have received prior training as teachers. Some of the colleges have established sets of required instructor competencies similar to the U.S. Schools, but there is no attempt to do formal local certification or licensing of instructors. Instead, the probationary instructor has to receive satisfactory course and student evaluations during the probationary period and if successful, is hired as a member of the "permanent staff". The probation period can be flexible in different colleges. Some give permanent status in a short period of time (six months to one year) for instructors who are quickly recognized as effective teachers. Others may allow up to two years for those who seem to have difficulty establishing themselves or who need coaching and further trials. A probationary contract can be extended for a third year if an instructor starts to show signs of progress.

Ultimately, however, the colleges have to decide on whether a person is ever going to be suitable as an instructor based on the performance indicators over a 1-3 year period. If insufficient progress is shown despite repeated trials and opportunities to qualify, then the contract is not renewed. The operative principle in the colleges was that the students could not afford to receive poor instruction and the college reputation could not afford to be seen as offering poor instruction.

In two of the Business group (the accounting firm and the training department), the minimum standards and criteria for probationary employees were well established and failure to qualify was treated similarly to the schools and colleges. The other three businesses had less definite performance expectations for probationary employees and consequently more individualistic judgements about whether a person qualified for "permanent" status. Generally, if individuals received satisfactory evaluations in the same appraisal process used for all professionals, they were eventually considered to have passed from probationary to permanent status. Informally, a one year probationary period was used with opportunities for upgrading, possibly for another one to two years. With less of a distinct boundary between probationary status and permanent status, the business sites tended to use the same procedures for performance problems for both probationary and experienced professionals.

In summary, the U.S. Schools are the most formalistic and careful in probationary performance appraisals, the colleges are less formalistic but equally careful, and the businesses less formalistic and less careful. Exceptions have been described already: one of the U.S. Schools operates similarly to the businesses and one of the businesses operates similarly to the U.S. Schools.

b) Established employees: This term is used to describe employees who have satisfactorily completed probation and are now regarded as essentially permanent employees of the organization. Their tenure may be formal or informal and as long as they continue to receive some satisfactory minimum rating in performance evaluations, they continue to accumulate seniority in the organization. If established employees start to receive less favourable performance evaluations, then a special review process or renewed probationary status is triggered into action. This was the case in all of the organizations in this study. The detailed procedures of the special review process varied from site to site but the essential features of the systems were the same. Figure 2 outlines a model of a performance monitoring system with provision for special performance review.

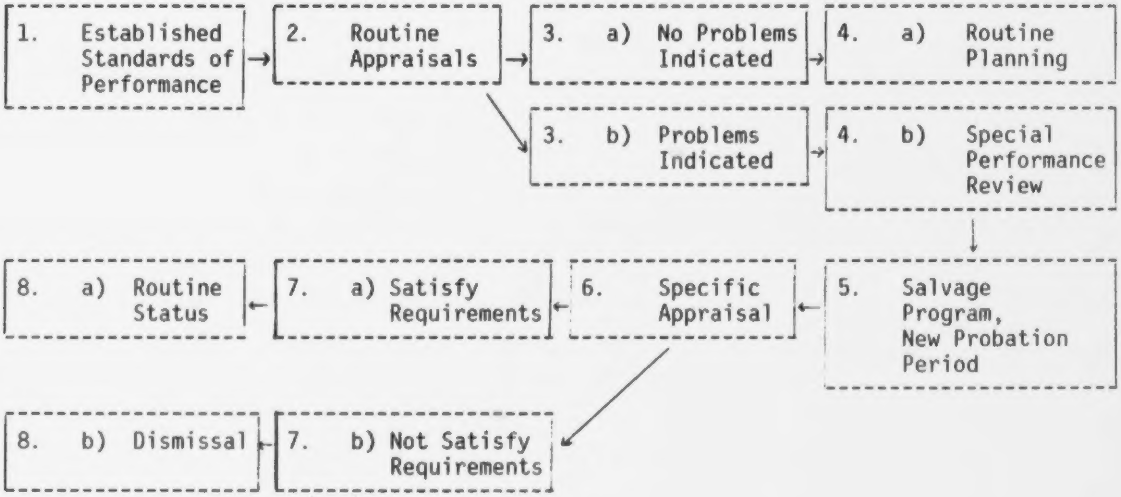
As was discussed in previous sections of the report, the performance monitoring system is easier to manage if performance standards have some clearly established minimum levels and criteria. If the minimum acceptable levels of performance are nebulous, then it is much more difficult to identify performance problems. Most of the schools and colleges were more careful to establish minimum required standards and two of the businesses did so as well. Those organizations which left these criteria unspecified were subject to contentious debates when attempts were made to confront performance problems.

Salvage programs could go by many names but they all involved supervisor-subordinate discussions of indicators of unsatisfactory performance, analyses of causes, coaching and/or corrective plans, and subsequent specific appraisals on the results of the plans. The length of time and the number of trials allowed for salvaging unsatisfactory performance can also vary. In general, if the particular aspect of deficient performance is very critical or sensitive, the time period is shorter. The number of repeated trials allowed will depend upon signs of progress shown or seniority level of the employee. Eventually a decision has to be made as to whether inadequate performance is correctable or has been corrected, or whether the employee is judged to be incompetent for the job requirements. If the level of performance persists at an inadequate level despite the best efforts of a salvage program, then the evidence points to incompetence as the cause.

Evidence for demonstrated incompetence (provided by monitoring and a special review process) has generally been accepted by the courts and arbitration systems as sufficient grounds for dismissal for cause. Other options can be used, such as transfer of the individual to a less sensitive or demanding job, or redesign of a job so as not to require the deficient competencies. Another option is to have frank, career planning discussions with problem employees about whether they really belong in the particular profession or would be better suited to a less demanding organization. Due process, fair treatment, and rigorous documentation of all steps and procedures in special performance review cases are necessary for the protection of both parties.

Figure 2

Example of a Performance Monitoring System with Special Performance Review


1. Established Standards of Performance
2. Routine Appraisals
3. a) No Problems Indicated
4. a) Routine Planning
3. b) Problems Indicated
4. b) Special Performance Review
5. Salvage Program, New Probation Period
6. Specific Appraisal
7. a) Satisfy Requirements
8. a) Routine Status
7. b) Not Satisfy Requirements
8. b) Dismissal

As mentioned previously, the presence of unions in the schools and colleges and legal trends in general, have required all the sites in the study to develop systematic and carefully documented procedures for whenever serious performance problems develop among established employees. In practice, the actual use of such procedures is comparatively rare for a variety of reasons. One reason is that rigorous screening at the probationary level removes most potential performance problems at the outset. By way of illustration, it was noted at some of the U.S. Schools sites that most of the serious performance problems occur with older teachers who satisfied their probation before the present, more rigorous probation systems were instituted. Another reason is that the special performance review process is time-consuming and costly and the organizations have to go through some very careful consideration of whether a performance situation is sufficiently serious to warrant the procedure. Instead, the organization might try some less costly or troublesome alternative (such as transfer, reassignment, redesign of job and duties). Finally, counselling sessions with inadequate performers often result in voluntary withdrawal from the organization. Employees with a performance problem may also not wish to go through the complications and tensions of the special review and salvage program process and, instead, will try to seek alternative employment once they know where they stand in the present organization.

One difference which was found between the Business group and the educational organizations concerns employees who consistently receive performance evaluations at minimum satisfactory levels. Technically these employees satisfy the conditions of employment, but they are marginal or mediocre employees in the eyes of their employers. The schools are basically obligated to leave these teachers alone if they are minimally satisfactory because education organizations have less discretionary latitude for dismissing marginal performers than do business organizations. Therefore, an educational organization over time could run a risk of having to tolerate mediocrity among some of the teachers. This situation places a great burden on the recruitment, selection, and probation phases of employment to avoid hiring unsatisfactory and potentially marginal employees if the school wishes to maintain high standards of teaching performance. The colleges in this study try to avoid a situation of marginal performers by requiring a high level of teaching performance as a minimum acceptable standard during the probationary period. If what might be called "teaching excellence" is demonstrated during probation, the colleges hope that the long run performance will continue at an equivalent level.

Most of the Business group have the philosophy of trying to require excellence as a minimum standard of performance. In practice this means that performance criteria for an "average" performance evaluation are set at a high standard. Persons who consistently receive marginal, barely acceptable, or below average evaluations are not assured of job security in these organizations. Professionals with this sort of record receive the lowest possible salary increments, do not receive promotions, and have to participate in counselling discussions about their suitability to work in that organization. Two of the business sites simply do not renew the contracts of marginal performers. Thus in the Business and College groups, being a marginally acceptable performer is a necessary but not sufficient qualification for continued employment.

2.8 EVALUATION AND MAINTENANCE OF THE APPRAISAL SYSTEM

The evaluation of an appraisal system is essentially a task of program evaluation, that is, an assessment of the outputs and consequences of a program in comparison with the goals established for the program. Program evaluation can be a very complex activity and even if well done, the results can be subject to extensive debate.[7] Consequently, most organizations rely on less formal and more subjective means for evaluation of their programs for performance evaluation. Some organizations implement their evaluation systems on good faith or strong prior convictions that a particular approach will be successful and do not try to do any form of program evaluation at all. Only when the burden of indirect evidence of problems becomes overwhelming would such organizations begin to appreciate the need for some form of program evaluation.

For the organizations in this study, it is safe to say that none are conducting formal program evaluations of their performance appraisal systems. This is partly due to recognition of the complexity of what a formal program evaluation requires, but also due to the limitations of resources within the organizations. Most resourses are devoted to implementation and administration of the appraisal systems and very little is left over for other purposes. Consequently, any form of program evaluation which does occur is in the form of impressionistic evidence and indirect indicators.

As stated in the introduction to this study, no attempt could be made to gather survey results from appraisees on satisfaction with a particular system. Instead, satisfaction had to be inferred from three weak indicators: interview testimony on satisfaction with a system; number of revisions felt to be necessary; and record of grievances, appeals, arbitrations, and lawsuits arising from appraisals. If program administrators used other types of data for some sort of program evaluation, this would also be discussed.

Among the Business group, three of the appraisal systems were felt to be too recently launched for any sort of program evaluation to be done. These systems are operating on management's faith or conviction that the approach is appropriate for their organizations. No revisions are yet felt to be necessary and no record of grievances has yet been established. Indirect indicators such as paperwork burden or sense of frustration with the systems are also not yet apparent. The other two appraisal systems were also launched under the strong conviction by management of the appropriateness of the system and their experience with their systems (both MBO) has not challenged these convictions. There is no particular record of grievances, no frustrations with paperwork or other indirect indicators of problems. Consequently, the conclusion from the impressionistic evidence is that the appraisal systems in the Business group are operating satisfactorily and no significant changes are planned.

A similar situation prevails in the College group, although a few differences are apparent compared to the Business group. Since some of the colleges used joint task forces to

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7. Ondrack, D. A., and Evans, M. G. QWL Evaluation and Measurement. Ottawa: Labour Canada, 1981.

develop their appraisal systems, these systems were launched with the conviction of both managers and instructors that the systems were appropriate. This increases the legitimacy of the systems in the eyes of the instructors and should act to reduce resistance to the implementation of a system. The operations of the appraisal systems are fairly new in all the colleges but the experience so far has not suggested the need for any significant changes. Grievances and arbitrations have occurred in a few situations. These have been concerned with attempts by colleges to dismiss some established instructors for continued inadequate performance. These are very few in number in comparison to the large number of instructors employed at the five colleges. In terms of frustrations with appraisal systems, there are more complaints about paperwork in the colleges than in the businesses. This is interpreted as being due to the greater care paid to probationary evaluation; the greater use of direct supervisor observations and client reports; and the union membership of the instructors. The recent launching of a centralized MBO planning system at the colleges also contributed to the perception of increased paperwork.

Two of the U.S. Schools had a form of program evaluation in that student learning and student achievement test scores were used as criteria for the validation of teacher competencies. Since the teacher evaluation systems were founded on the assessment of competencies, then student performance could act as an indicator of the effectiveness of the evaluation system as well. This type of program evaluation was most extensively developed in the State of Georgia where student achievement records were used both to validate the required competencies and the effectiveness of the teacher certification program. Otherwise, the U.S. Schools followed much the same impressionistic evidence approach to program evaluation as did the colleges and businesses.

Some number of grievances or challenges were found to occur in all the U.S. Schools sites, but the level was not thought to be a problem in six out of seven sites. The level of grievances was actually felt to be declining over time in the six sites, but growing in the seventh site. The situation in the seventh site will be discussed in more detail below.

Similar impressionistic evidence was obtained in terms of perceptions about general frustration and felt need to change. Six of the U.S. Schools sites expressed relative satisfaction with these aspects while the seventh had a high level of frustration and a strongly felt need to change.

The seventh school site was a local board of education which did not attempt to do supplementary certification of teachers in addition to the State certificates (which were based on university and teacher college credits). This school board used a goals and action planning approach to teacher evaluation based on the model proposed by George Redfern.[8] Only a general (State) job description was used for teachers so the school board did not have any specified minimum standards of performance for teachers. No list of required teacher competencies and criteria had been developed for probationary teachers and anyone who stayed out of trouble during the one-year probation period satisfied the conditions of probation. Extensive policy and procedural manuals for guidance in performance evaluation were available for principals and superintendents but no training was provided for conducting appraisals. Similarly, although classroom observations by principals were required and post-observation conferences were mandatory, no pre-observation conference was required and no standard observation guidelines were provided. Consequently, principals had to develop their own dimensions of performance for observation and their own criteria for whether performance was high or low on any dimension.

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[8] Redfern, G. Evaluating Teachers and Administrators: A Performance Objectives Approach. Boulder, Colorado: Westview Press, 1980.

The performance dimensions and criteria were supposed to be generated by teacher action plans according to the philosophy of the MBO system, but with the absence of any specified minimum standards, each teacher was in effect free to define his or her own job description through personal goal setting and action planning. Goal setting and action planning was also done by the principal for the school as a whole, but there was little sense of these plans being incorporated into teacher action plans. The ultimate result was that no uniform standards for teacher performance were established and considerable controversy existed over what teachers could be held accountable for in this system. The position taken by many teachers was that they could only be held accountable for what was negotiated in their annual goal setting and action planning documents. In the absence of any other defined standards or requirements for teachers, the principals were forced to become more and more detailed and legalistic in the negotiation of teacher action plans. This produced the frustrations concerning paperwork and grievances over evaluations, and ultimately the strongly felt need for a change in the appraisal system. A further complicating factor (if there need be any more!) was recent State cutbacks in education budgets necessitating the layoff of several hundred teachers. Overall, a climate of tension and frustration pervaded this system*. The direction this school system planned to go in the future is described in the following section of the report.

Overall, the impressions received from the sites in the study reveal few formal attempts to evaluate the success of the performance appraisal systems and little evidence of any problems with the systems. If problems should begin to develop, such as were described for the one U.S. Schools site, then they will probably only be recognized after indirect evidence mounts to a level considered to be intolerable.

2.9 TRENDS AND OUTLOOK FOR THE APPRAISAL SYSTEMS

As might be gathered from section 2.8, only one site has a strong sense of the need to change its appraisal system. The other sites, whether in the Business, College, or U.S. Schools groups are basically satisfied with their current systems and may only introduce minor changes to fine-tune or complete stages of introduction of their systems. The major change planned for the one U.S. School site is to develop a list of basic required competencies for teachers so that minimum standards of teacher performance can be established. They will most likely derive these competencies from the work of Madeline Hunter[9] and in effect establish a job description for teachers specific to this school board. The next step planned is the development of a standardized observation form for principals based on the same list of competencies with criteria specifications. The MBO goal setting and action planning system will be retained but the focus of the system will be different. Instead of using the MBO system to define job descriptions for teachers, the new focus will be to concentrate on professional development.

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* At this point, the reader may wonder how this school system got included in the study. The answer is that it was selected on the basis of positive reports published prior to the onset of the problems found at the time of this study.

In this way, this school board hopes to reduce much of the contention about minimum performance standards expected for teachers and thereby reduce the frustrations of paperwork and grievances. A top-down management decision-making process is still being used (the same as used for implementation of the original MBO system) and little was said about training principals to be able to use the new system. Consequently it remains to be seen whether this new approach will work towards alleviating some of the problems experienced by this school district.

For the other sites, the outlook remains similar for all three types of organizations. Each will continue to require employees to maintain a satisfactory minimum level of performance to retain their seniority, although the definition and criteria for "satisfactory minimum" will vary from one organization to another. Each will conduct routine appraisals using various approaches to verify this level of performance requirement. Each will use some form of goal setting and action planning in addition to routine appraisals. In the businesses, goal setting and planning will be mostly concentrated on contribution to organization goals with some aspects of professional development planning. In the colleges, there will almost be a balance between professional development plans, contribution to organization goals, and teaching plans. For teachers in schools, goal setting and planning will be dominated by teaching plans, with some professional development plans and little planning for contribution to organization goals. This latter pattern is somewhat unfortunate for teachers because it implies a role for them as teaching mechanics rather than professional educators. Instructors in the colleges have a more professional role as educators with a more holistic approach to goal setting (and a more holistic approach to appraisals). On the basis of impressionistic evidence alone, in a few U.S. Schools sites where the teachers were seen as being more involved in plans for the achievement of school goals and where individual plans were seen as making a contribution to organization goals, the teachers seemed to be working more truly as professional educators.

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[9] Hunter, M. "Teacher Competency: Problem, Theory and Practice". Theory Into Practice (April 1976), pp. 162-170.

3.0 CONCLUSIONS

A preliminary conclusion which emerges from both the literature review and the field study parts of the project is that a distinction is not consistently made between appraisal and evaluation of performance. The two terms are used interchangeably in many cases but the following distinction will be used in the conclusion of this report. The term "appraisal" will be used to refer to the gathering of data about performance and the giving of feedback, providing the feedback is objective or non-judgemental. An example would be, "I observed you do the following ...."

Evaluation on the other hand will be used to refer to judgements or decisions about the relative level of performance and the giving of feedback about the judgements. An example would be, "I observed you do the following (effective/ineffective) behaviours ...." A key aspect of the difference between appraisal and evaluation is that in appraisal, it is the subordinate who has to make judgements about whether the behaviour was effective/ineffective. In evaluation, it is the supervisor who makes these judgements. If both parties share a common understanding of what constitutes effective/ineffective performance then appraisal will be used more than evaluation and subordinates can be more autonomous in their work.

The appraisal and evaluation of performance of professionals has posed considerable difficulties for many organizations for at least three major reasons. One reason lies in the nature of professional bureaucracies where professionals perform their service work in a largely autonomous manner. As a result of their professional training (and in many cases, licensing or certification), they are assumed to be competent for the autonomous performance of their duties and assumed to be able to act in a self-regulating manner. Under these assumptions, individual accountability for professional performance is subject to question only when extreme exceptions to accepted norms of professional conduct occur. Performance which is an exception to these norms is outside the commonly shared understanding of what constitutes acceptable performance and the delegation of autonomy is revoked.

The degree of autonomy of employees in a professional bureaucracy may actually be somewhat less than described above due to the presence of knowledgeable professionals in the management hierarchy, or if there exists a strong organizational sense of preferred method of practice. Once these types of restrictions have been incorporated into shared understandings about performance, it is still largely up to the professionals to determine their own job content and be self-regulating in their conduct. Under these assumptions, the role of supervisors is to be largely occupied with appraisals of performance and leave evaluation to the subordinates (some professionals would go so far as to demand control over appraisal as well).

The result, in professional bureaucracies, is a continuing tension between the part of the organization which does the service work (professionals) and the part which supervises the service work. The tension arises from questions of what constitutes effective/ineffective performance, who should appraise it, and how it should be evaluated. The balance of power swings to the employees where the profession is highly legitimized and self-regulated and swings to management when the service work is only quasi- or near professional. In this latter case, the employer is dominant in defining effective/ineffective performance and the employer performs both appraisal and evaluation.

The second reason for difficulty in appraisal and evaluation of professionals is that the means and techniques (process) of a professional's work and the results (output) may be difficult to measure or assess objectively. For some situations, measurement may seem to be quite easy, i.e., students pass/fail achievement exams; lawyers win/lose court cases; patients are cured/not cured. In fact, this form of appraisal is deceptively simplistic and the reality is much more complicated. If the work of a professional is preventative in nature, then the absence of measurable outputs may be a more valid means of appraising performance. If the results of a professional's work are qualitative or long term in nature (i.e., to enhance feelings of self-esteem in a client or to create a sense of citizenship), the results can be extremely difficult to assess as well. However, as a counter to the qualitative assessment argument, one should keep in mind the observation of Dr. George Odiorne, that "if the results of someone's work cannot be measured, rated, assessed or even qualitatively described in some manner to distinguish between when the work is or is not done, then we have to wonder whether any work is being done at all"[10].

The third problem lies with the assumption that a direct correspondence exists between the work of the professional and the results which are eventually obtained. In situations where numerous other variables can intervene to affect end result outcomes, this assumption can be of questionable validity. For example, a person may work to the best of his or her ability in a situation, but find the results to be compromised by budgetary constraints, environmental factors, or conflicting pressures or client behaviour. In face of the uncertainty about a performance-results correspondence, many professional bureaucracies focus appraisals on the process of professional work. If the processes are felt to be appropriate, then it is hoped that the work of the professional will be a positive contributing factor to the desired end results.

Despite these principal difficulties, professional service organizations still have to grapple with the problem of appraisal in order to continuously try to develop or maintain a high level of professional service and to have a valid data base for personnel evaluation. This means that some form of systematic appraisal based on some means of obtaining valid data about performance has to be developed for each organization. Once the information about performance has been gathered, the second issue is how to make evaluations or judgements about the performance. To evaluate performance, it is necessary to have some sort of standards for purposes of comparison. Normally, evaluation requires the definition of some minimum standards of performance for at least the key aspects of a professional's work, so that the work of all persons can be judged in comparison to some fundamental requirements of the organization. Some organizations may wish to go further and define a range of standards above the minimum so that performance may be evaluated with respect to a hierarchy of standards.

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10. Odiorne, G. "What's Wrong with Appraisal Systems?" In Personnel Policy: Issues and Practices. Columbus, Ohio: Merrill Books, 1965.

This will depend upon the organization's philosophy or policies about promotions and careers for professionals or the policy about performance-related compensation differentials.

The organizations in this study had basically four major options to choose from in conducting appraisals of their professional staff. The four options are as follows:

1) Competency-Based Appraisals,
2) Activities-Based Appraisals,
3) Results-Based Appraisals,
4) Multi-Method Appraisals.

3.1 COMPETENCY-BASED APPRAISALS

This form of appraisal is concerned with attributes, characteristics, skills, knowledge, or personality of the individual. Historically, this form of appraisal used to be concerned with whether a person had what was considered to be an appropriate set of personality and values characteristics. More recently, the concern is whether a person has required types of knowledge and demonstrated possession of skills or behaviours. Historically, competencies may have been considered to be inherent in a person, more recently competencies are considered to be more learnable in a person (some matching of necessary personality profiles for ability to learn required competencies may still be necessary). Competencies can be assessed in a variety of ways, the most common methods are checklists, rating scales, structured observation forms, and tests. Competency-based appraisals are generally used for selection purposes and the objective of the appraisal process is to establish whether a person possesses or demonstrates some minimum standard of·the competency.

A number of assumptions are necessary for competency-based appraisals to be usefully employed by an organization. The conceptual model of assumptions is as follows:

i) There must be some agreed upon normative model, theory, or philosophy about what constitutes "good" professional work. The term "normative model" is taken from Darling-Hammond et al.[11] and refers to the concept of shared norms in an organization about preferred approaches and goals in professional work. Shared norms can range from informal assumptions and implicit models of good performance to explicit, documented performance dimensions and criteria. The key aspect of a normative model is the shared belief or conviction that a particular approach to professional services will yield (or be likely to yield) desirable results. If the shared belief system is widely held and internally consistent, then it can be a powerful social influence on the nature of professional service in the organization.[12]

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[11] Darling-Hammond, L.; Wise, A.E.; Pease, S.R. "Teacher Evaluation in the Organizational Context: A Review of the Literature". Review of Educational Research 53 (Fall 1983), pp. 285-328.

[12] Ondrack, D.A. "Socialization in Professional Schools: A Compariative Study". Administrative Science Quarterly 20 (March 1970), pp. 97-103.

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The content of normative models can be concerned with qualifications and competencies of practitioners, philosophy and methods of practitioners, and aims or objectives of the practitioner's work. The content can be derived from empirical research, belief in a theory or philosophy, accumulated experience, and generally held wisdoms or folklore. A normative model is more consistent or cohesive to the extent that it is a widely-shared or consensus belief system in the organization (i.e., everyone essentially agrees on what is "good" performance or what causes good performance). Low cohesion in normative models could exist from conflicting viewpoints or from tolerance of a variety of viewpoints.

It is obviously difficult to develop consensus on a variety of complex issues and most organizations operate with a loose coalition of implicit norms, values, and goals for a normative model rather than trying to explicitly develop such a model. Nonetheless, some degree of implicit consensus or underlying assumptions about desirable/undesirable methods, exists in every organization (usually described as the "culture" of the organization). Some organizations have quite a strong local culture even though it was developed over time through a process of historical evolution. Other organizations deliberately try to establish a preferred local culture using a variety of formal and informal techniques.[13] Performance appraisal is a common mechanism for the communication and reinforcement of organization cultures.

The main point about a normative model is that it is impossible to develop a valid set of competencies or use a competency-based appraisal model unless some form of normative model of professional service exists in the organization. Put simply, one cannot make appraisals of whether a person has or does not have "good" competencies unless some agreement exists on what is meant by "good". Without this basic level of consensus in the organization, appraisal dimensions and criteria are based upon whimsy, bias, or idiosyncratic judgements.

ii) From the normative model, a number of qualifications or competencies must be identified which are necessary for satisfactory performance of the normative model of professional work. The competencies have to have discriminant validity in the sense that a person lacking the competencies could not satisfactorily perform the work.

iii) For each of the competencies, a set of criteria must be developed which identify a range of performance on each competency (i.e., low, medium, high competency). The criteria must be sufficiently accurate to allow raters to make valid distinctions in competency between different persons and sufficiently accurate to allow raters to make objective and reliable appraisals.

While these assumptions for competency-based appraisals are similar to those required for a psychological test, the weak link is the validity of the normative model itself. There is very little research evidence to support any one model, theory, or philosophy of one method of teaching as being better than another. Consequently, the choice of a particular philosophy or approach to education on which to base a rigorous, competency-based selection model, is largely a matter of faith, convictions, or common-sense among the persons making the choice. Ideally, the use of a competency-based appraisal system should be accompanied by a program-evaluation study to verify that the chosen competencies actually do enhance the achievement of the normative model of education, or that the normative model actually enhances student learning and development.

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[13] Denison, D. R. "Bringing the Corporate Culture to the Bottom Line". Organizational Dynamics (Autumn 1984), pp. 4-22.

A second limitation to competency-based appraisals is that this approach only establishes the availability of competencies and not necessarily the use of competencies. Such a system provides the potential for a higher level of performance in the organization because the majority of professional employees over time will possess the required competencies, but other procedures may be necessary to actually elicit the desired performance.

Evaluation in a competency-based appraisal system is generally concerned with whether or not a person satisfies some minimum standards of competence within and across competencies. For example, one U.S. School had ten required competencies for certification and a teacher had to achieve a high pass on all ten (i.e., no compensatory balancing) to qualify. Evaluation then requires definition of the necessary minima on various competencies for the determination of eligibility of employees. There is no need to evaluate people according to higher levels of competency unless the organization wishes to distinguish between degrees of competency (i.e., a pass certificate and a certificate with distinction).

It is also important to recognize that competency-based appraisals should not be used for inappropriate purposes. For example, a person with a very high score on the competency criteria can only be assumed to be very qualified, but cannot be assumed to be a high level performer. Similarly, high scores on competencies assumed to be valid for one type of work in an organization cannot be used as indicators of potential for another type of work (i.e., highly qualified teachers are not necessarily good principals). The implication from this is that different sets of competencies may have to be developed for different kinds of jobs in the same organization.

3.2 ACTIVITIES-BASED APPRAISALS

The use of this type of appraisal system also depends upon a conceptual model similar to that described for competency-based appraisals, in that there must be some agreed upon normative model of "good" professional work. The difference in activities-based appraisals is that a number of behaviours or methods must be identified which are necessary for satisfactory performance of the model. Once the behaviours, methods, and activities are identified, then it may also be necessary to develop a scale which shows some range in the practice of the behaviours. For example, a desirable behaviour may be specified as follows:

Feedback activity: gives appropriate, timely, helpful feedback to students about their work in class.

Range: never, rarely, sometimes, often, always.

As with competency-based appraisals, activity-based appraisals must also have discriminant validity so that a person who did not perform the required activities could not satisfactorily perform the work. These types of appraisals are commonly done by use of various types of structured observation instruments which can range from behaviour checklists to behaviourally anchored rating scales (BARS) and behavioural observation rating scales (BORS). While the degree of sophistication and precision of the rating instruments is important, the key question is whether the requisite behaviours are, in fact, valid indicators of performance consistent with the normative model.

Activity-based appraisal systems can be used for selection and certification purposes and can be complementary to competency-based appraisals. If the requisite activities are derived from a set of competencies, then the activities can be characterized as demonstrated competencies. The use of an activities-based appraisal system for demonstrated competencies bridges the gap between competencies as potential performance and competencies in action in an organization. Some organizations use mixtures of competencies and activities in appraisals with no apparent distinction between the two methodologies of appraisal.

An activity-based or process-focus approach to appraisals does not have to be derived from specific competencies. Instead, an organization might accept anyone who is capable of performing the required activities. Such organizations might assume that the necessary (but non-specific) competencies are evident in the ability to do the required activities or that a variety of competencies are equally likely to allow a person to have suitable performance.

Evaluation in an activity-based appraisal system can be similar to that used for a competency-based system. If a person demonstrates use of the required behaviours or processes in professional work, then the person can be accepted or certified as qualified. This type of evaluation would be done by a comparison of the person's activities with some established minimum standards of activities (volumes, procedures, styles). However, it is also possible to use an activities-based appraisal system for differentiating performance levels between persons. This can be done by a comparing frequencies and qualities of activities between one person and another so that the work-processes of one person are judged to be superior to the work processes of another.

Evaluations based on activities or process of a professional's work can be very important if there is a strong conviction in an organization that a particular method or approach to doing professional work will obtain the best results. The particular approach may be idiosyncratic to the organization or representative of generally held beliefs of good quality professional activities. With a strong set of beliefs about organization effectiveness, it is important for the organization to ensure overall compliance with the preferred activities by evaluating people on degree of individual compliance with the process. If at the very least, all or most of the professionals conform to the required professional process, the organization should be in a better position to achieve its ambitions for organization effectiveness. In addition, the organization might want to enhance motivation toward using the special process by rewarding those who perform the process in some better-than-average manner. Evaluations for the purposes of distinguishing between average and above average performers on activities can be done by frequency (an average performer does the activity "often", a superior performer does the activity "always"), or by defining degree of the activity (average performers will do the activity in the following manner ..., superior performers will do the activity in the following manner ...).

The limitations to activities-based appraisals are basically the same as the limitations for competency-based appraisals. The normative model of activities should be valid and the criteria developed for use in appraisal of the activities should be valid indicators of whether or not the activities are in use. A further difficulty is the problem of identifying a comprehensive list of activities so that the wholeness of a person's work can be appraised. Few organizations can actually develop a truly comprehensive list of activities as this would be a very cumbersome task. As a substitute, some organizations choose a subset of activities which are used as key indicators of performance. Key indicator activities are those which are either fundamental to a job (i.e., if these are not satisfactorily performed, the job as a whole is compromised), or are representative of a related group of activities (i.e., if activity A is satisfactorily performed, then it is likely that activities $A_1 \ldots n$ are also well performed). The assumption with key indicators is that appraisal on the subset of activities provides a surrogate for appraisal on a broader range of activities. As usual, there is the problem of validity of the key indicators and possible narrowness in appraisal as a result of focusing only on a few activities.

3.3 RESULTS-BASED APPRAISALS

This form of appraisal is concerned with the outcomes of the work of a professional and can be a very complex form of appraisal for professionals. Appraisals based on results are fundamental to the principal of accountability for professionals although professional activities can be a basis for accountability assessments as well. There are essentially four types of results-based appraisals which can be used separately or in combination in an organization. Each type of results appraisal assumes some degree of measurability or assessability of the results.

1) Results for organization goals and plans;
2) Results for professional goals;
3) Results for personal goals of the professional;
4) Activities towards goals as quasi-results.

3.3.1 Results for Organization Goals and Plans

This form of results-based appraisal is used in organizations which have some established mission and goals and professionals are expected to work toward the achievement of these organization goals. The organization may also have established plans for the achievement of its goals and professionals can be appraised on their participation and contribution to these plans. The criteria for appraisal depend upon the degree of specification of the organization goals or plans. If these are quite general statements, then it is up to professionals and their subordinates to negotiate some degree of specificity for the results of an individual's work. If the organization's goals are quite specific, then the criteria for appraisal would be based on how well a professional's individual results fit into the organization's plans.

Appraisals based on results for organizational goals and plans was the most frequent type of appraisal for supervisors and administrators in this study. This is because supervisors had responsibility for achieving organization goals and plans or for directing the work of others towards these ends. Consequently, it follows that supervisors would be appraised on progress and results towards those responsibilities.

3.3.2 Results for Professional Goals

In a professional bureaucracy, only a very general statement of goals or mission may be established for an organization and the specifics of these goals may be determined by the professionals. For example, the general organization goal may be "to provide a high quality education". How to achieve this goal in operational terms would have to be determined by negotiations between individual supervisors and professionals. In a highly delegated situation, the professionals may be left essentially on their own to determine appropriate goals for their work. In these cases they have to rely on their sense of professional responsibility and/or personal mission in their work for the establishment of goals. Once again, if these goals are left as general statements, then the problem is to define criteria for assessing whether the goals were achieved or whether progress was indicated. With greater specification of goals there is automatically more specification of criteria.

The difference between results for organization goals and results for professional goals is basically a question of who determined the goals, the supervisory hierarchy or the operations level of the organization. In the case of organization goals, the professional is employed as a contractor for services as specified by the employer. In the case of professional goals, the professional is employed as a semi-autonomous expert with the organization providing services for the work of the professional. In practice, both forms of goals are used and individual job responsibilities are derived from negotiations between supervisors and subordinates.

3.3.3 Results for Personal Goals of the Professional

These sorts of goals can be closely allied to professional goals, but generally personal goals refers to activities and results for professional development of the individual. By becoming better developed professionally, the individual is more valuable to the employer and the clientele of the organization. Consequently, it is legitimate for the organization (and in the best interests of the professional) to have some part of appraisal devoted to professional development. By defining results for professional development, the appraisal process can be much more specific and objective than if professional development was only talked about in generalities. The use of professional development goals for appraisal may also vary in relevance to different individuals. Generally, this type of results-based appraisal will be most relevant for probationary and novice employees who will be going through various stages of development toward "mastery" or a high level of competence in their work. Thereafter, professional development may actually be a matter of maintenance of standards or keeping up to date with a field. A further stage of professional development may occur if a person wishes to qualify for a new type or level of work within the profession (i.e., become a specialist, become a supervisor).

3.3.4 Activities Towards Goals as Quasi-Results

In most goals-based management systems in organizations, specification can occur of both goals and the plans for achieving the goals. These operating plans can define a series of activities and stages of progress which are believed to be sensible and feasible means for achieving the goals. The specification of plans and stages of progress can be done even if the goals are still rather general. The following example shows generality and specificity for both goals and plans.

Goal (general):	To improve student learning in mathematics.
Goal Criteria (specific):	Satisfactory progress toward this goal will be indicated when x% of students achieve at least x% on (some) mathematics achievement test.
Plan (general):	An additional 1/2 hour tutorial in mathematics will be provided daily for students in need of extra instruction.
Plan Criteria (specific):	The 1/2 hour tutorials will be organized into one week topic modules with achievement exams in the last session of each module. Students who qualify will progress to the next module and students who do not qualify will repeat the module.

There are two ways the above plans could be used as quasi-results for appraisals. If the activities as specified in the plans are performed and if the activities are believed to be sensible means for achieving the goals (whether specific or general), then satisfactory performance of the activity is accepted as likely to result in achievement of goals. The satisfactory performance of the activity becomes a result or a quasi-result in itself. If the performance by professionals on quasi-results is generally satisfactory, then the organization can have confidence that progress is being made toward the overall goals. Secondly, if the plan of activities is organized into stages of progress, then satisfactory completion of the stages of progress should allow confidence that the larger goals are likely to be achieved.

Using quasi-results for appraisals is especially useful when the results for a professional's work are difficult to measure or quantify or when the results may take a long time to be realized. An example would be a long term research project in a scientific organization. The ultimate results may be nebulous to define in advance or may take years to be achieved, but it is possible to make specific plans for scientific experiments that are consistent with, or should likely lead to, the desired results. Appraisals of performance on whether or not the experiments were carried out as planned and whether interim stages of progress were achieved would be legitimate and appropriate. The same principal applies to appraisal of supervisors and administrators. Many of their responsibilities and goals can only be worked towards and never actually achieved. Therefore they have to plan and perform activities that are seen as leading towards the achievement of goals. If the plans make sense, then progress on, or achievement of, these plans can be used as quasi-results for appraisal of administrators.

There are three principal limitations to results-based appraisals which contribute to the complexity associated with using these methods. The first limitation is the challenge of being specific about goals and results or, more importantly, to what degree a goal can be achieved. It seems to be much easier to speak in generalities about goals, and a strain on creativity and imagination to get people to try to specify what sorts of results would be consistent with the achievement of even philosophical or enduring goals. It is also possible that some persons would prefer to speak only in generalities about goals because greater specification of results makes it much easier to focus on questions of accountability.

The second limitation is that results-based systems are often encumbered by overwhelming amounts of paperwork. Specification of results seems to necessitate a lot of documentation which in turn can divert energy and attention away from a focus on the operational activities of an organization. To try to reduce paperwork, some organizations try to use the device of key indicator results as representatives of a large range of results. However, there does not seem to be any ultimate way to minimize the necessity for documentation and paperwork in a results-based appraisal system, particularly if evaluations of performance are being conducted based on these appraisals.

A third limitation to results-based appraisals is that results are affected by several antecedent and intervening variables while professionals are performing their work in the organization. Consequently, it is argued that complete accountability for results is not feasible since complete control is not possible over relevant variables affecting outcomes. For example, if multivariate statistical analysis was done on half a dozen variables associated with student performance on some objective test, teacher performance might only account for some minor percentage of explained variance. If teachers do not have control over any of the other important variables, then significant changes in teacher behaviour will not result in significant changes in the dependent variable of student achievement.

There seem to be two approaches organizations can use for dealing with this third limitation. One is to use such measures as student achievement tests as criteria for program evaluation for the organization as a whole or for major programs within the organization's operations. Such data as student achievement tests can then be used for appraisal of the mathematics program in a school rather than for individual teachers. Program appraisal can account for more variables than can individual teachers and programs can be developed for specific objectives given the state of antecedent and intervening variables. However individual teachers can still be appraised on their contributions to the program. Because program appraisal involves an appraisal of collective efforts by a number of professionals, this type of appraisal is very relevant for the appraisal of administrators. While it is true as well that administrators do not have control over all intervening variables which affect the results of a program, administrators are responsible for co-ordination and integration of a series of efforts toward the goals and activities of a program. Part of the responsibility of an administrator is to bring together a diverse set of variables so that the likelihood of progress or achievement in a program is enhanced as a result of the administrator's efforts. Consequently, program evaluation can contribute one aspect of the various accountabilities for which administrators can be appraised.

The second approach is to hold teachers accountable for those results over which they do have control and which seem to have relevance for the achievement of larger goals. This approach is essentially the same as using quasi-results as described earlier. For example, a teacher has control over preparation of learning objectives, lesson plans, and learning activities. These plans can be tailored specifically to be appropriate for the particular students in a class and their current levels of achievement. If the plans seem to be sensible and consistent with the likelihood of achieving program goals, then the teacher could be accountable for carrying out those plans.

A fourth limitation to results-based appraisals that is sometimes described in the literature and found in field site studies is inappropriate rigidity of goals and plans, or failure to adapt to changing circumstances. If this occurs, people can be unfairly held accountable for goals and plans which are clearly no longer viable. This seems to be basically an obsolete limitation which occurred historically either due to poorly conceived results-based appraisals or excessive bureaucratic rigidity in organizations. All of the organizations in the field sites in this study which used results-based appraisals had provision for modifications to goals and plans whenever circumstances changed. All of the results-based appraisals were extensions of results-based management systems and managers would have to be out of touch with the reality of their operations to persist in using obsolete goals and plans for appraisals.

Evaluations based on appraisals can be done in two ways. If the results or quasi-results are specified in such a way that a "yes/no" statement can be made about the results criteria, then evaluation can be done simply on the basis of counting the "yes" responses. Some number of "yes" responses might be established to define a minimum satisfactory standard of performance and higher numbers can distinguish higher levels of performance. The second way to evaluate is to establish some degrees of achievement of performance on objectives and then define the necessary minimum satisfactory level of performance. An example is:

Result criterion: The teacher completes lesson plans as discussed in advance with the principal.

Performance range: Never, about 10% of the time, about 1/3 of the time, about 1/2 of the time, about 2/3 of the time, about 90% of the time, consistently. (The minimum acceptable standard is 90%.)

Evaluations which lean toward the "yes/no" approaches can suffer from rigidity and the criteria have to be fairly specific so that decisions can be objective and unambiguous. Evaluations which lean toward degrees of results achievement have more flexibility to account for the effect of other factors and can be used to recognize good efforts even if the results do not happen to be achieved. Recognition of effort is an important aspect of supervision and the appraisal and evaluation system should account for differentials in effort. Finally, evaluations based on results should also distinguish between degrees of importance of various goals or results. A person's performance record on results of primary importance should count for more in evaluation than achievement on results of secondary or minor importance.

3.4 MULTI-METHOD APPRAISALS

This is the most common form of appraisal found in organizations since it can combine features of any of the approaches described above. However, the mix of approaches varies widely from one organization to another so that there is no one pattern of use of multi-method appraisals. A multi-method approach to appraisals has the obvious advantages of trying to utilize the strengths of different approaches and trying to capture the wholeness of a job by appraising different aspects of a job. The unfortunate limitation to multi-method appraisals is that they can seem to be quite complicated (with accompanying paperwork burdens).

In order for an organization to make an intelligent selection of an appropriate mix of appraisal methods, it is necessary for the organization to decide on priorities of the purposes of the appraisal system. This issue will be discussed in a following section of the report, but a general principle is that there should be consistency between the type of appraisal and the purpose being served by the appraisal. For example if the organization has a very strong belief in the efficacy of a particular approach to teaching, then the appraisal system should be activities-based to ensure that the desired methods are being used. If the organization has a variety of purposes to be served by appraisal then a variety of appropriate methods will have to be used to form a multi-method package for appraisal and evaluation of performance.

All of the organizations in the field study had some form of multi-method appraisals. No one approach to appraisals was found to be appropriate for all purposes and each package had its strengths and limitations. Some of the multi-method appraisals were dominated by competency and activities-based appraisals, others were dominated by various forms of results-based appraisals. The range of approaches was equally varied between businesses, colleges, and schools. The sections which follow will discuss some of the conclusions about how organizations can choose among approaches, as well as conclusions about the administration of appraisal systems for professionals.

3.5 OBJECTIVES AND PURPOSES OF AN APPRAISAL SYSTEM

While it seems self-evident that an appraisal system should be developed to serve organizational objectives and purposes, it is less self-evident which type of system serves which type of purposes. A purpose which may be common to all organizations is the need for an appraisal system to provide an objective, valid, and reliable data base for routine personnel administration and decisions. Over and above these purposes is the need for an appraisal data base to provide information for special purposes or situations in an organization which may be different from other organizations. The following sections represent some of the special purposes which were found in the field study.

3.5.1 Situational Factors

Some of the U.S. Schools were in situations of rapid population growth where the demand for teachers exceeded the normal supply. This meant that several teachers had to be recruited from out-of-state, where little was known about different qualities of teacher training. Secondly, the quality of teacher training within the state was known to vary greatly as well. One approach to staffing under a high demand situation would be to hire as many teachers as needed on the basis of formal qualifications from teachers' colleges and then do subsequent pruning of staff to dismiss the unsuitable performers. This approach was rejected because of the history of difficulty of dismissing unsatisfactory performers, as well as the wish to avoid a number of years of poor quality teaching being inflicted on students in the meantime. Instead, a strategy was chosen of rigorous selection of teacher candidates at the outset on the basis of required competencies, and careful appraisal of probationary performance to see that the competencies were demonstrated in action. By insisting on high selection standards at the outset and by only issuing temporary teacher certificates during probation, these schools both enhance teaching quality in the short term and act to avoid dismissal difficulties in the long term.

In another case, some U.S. Schools were confronted with a crisis of a lack of confidence in the school system's ability to deliver a quality education. Since enrolment was static or even declining, it was not possible to use the approach of trying to change the quality of inputs of new teachers, and the school system had to work with available resources. The approach chosen was to implement a comprehensive goals-planning process for the school system to deliberately turn around the situation by systematically upgrading education across the whole jurisdiction. This involved detailed planning and specification of goals and results for the school board, schools, principals, and teachers. The appraisal by results system was complementary to the management system used in these school jurisdictions. The appraisal system is used for monitoring, evaluation, and support for those who contribute to the system goals, and for feedback, guidance, and possibly discipline for those who do not.

A third type of situation found more in colleges and businesses was the need to develop or maintain a competitive distinction in quality of professional service. The situation faced by these organizations was that if they slipped or deteriorated in professional excellence, their clients/students could easily go to competitors who provided better service/education. The appraisal systems in theses cases used a number of client feedback devices and the professional staff were encouraged to have a strong sense of market awareness.

A fourth situation for a number of organizations was slow or static growth with reasonably high standards already achieved. For organizations in these situations, the challenge was to both maintain the level of quality of service and provide for continued professional development of staff. The appraisal systems in these situations used only simple monitoring of performance levels for established, satisfactory employees and instead devoted attention to discussions and plans for professional development.

From this discussion of different approaches or emphases in appraisals for different organization situations, it can be seen that serious consideration has to be given to the question(s) of what needs or purposes are being served by the appraisal system. For high growth situations, the focus of appraisals seems to be on controlling the standards of entry of professionals into the organization. For near-crisis situations, the focus seems to be on specific redirection of available resources to different methods and priorities in professional services. For highly competitive organizations, the focus seems to be on excellence of service and market sensitivity for competitive advantage. For stable, good quality organizations, the focus is on maintenance of standards and continual upgrading and development. These conclusions are not meant to suggest that only these combinations of situations and approaches to appraisal will be suitable. Instead, the conclusion is that the focus of the appraisal system should be relevant to the situation faced by a particular school jurisdiction and that the appraisal systems may need to be reorganized from time to time to maintain a match with evolving organization situations.

3.5.2 Sense of Mission and Normative Models of Professional Service

If an organization operates with an explicit (or strongly implicit) sense of mission, then this has the effect of defining a number of priorities for resource allocation and boundaries for acceptable and non-acceptable activities and behaviours. In effect, the organization creates a particular culture which then influences behaviour within the organization community in a manner analogous to the influence of a societal culture on a village. However, organizations can choose to use deliberate methods to establish and reinforce a particular culture in the organization to pursue a given mission. Typical methods are selection, orientation, training, socialization, and reward systems and the appraisal process is an active element in many of these methods. For example, one scientific research organization in this study chose a mission of developing practical, marketable products as opposed to pure, theoretical research. Research personnel are selected on the basis of practical orientations and pure theoreticians are left for other organizations to hire. Training and socialization in the organization reinforces this orientation and the reward system provides recognition to those who are high performers on the criteria which represent desired performance. Such people also serve as role-models and examples to others. In education systems, a mission can act as a statement of aims, philosophy, or priorities to which the resources of the system are committed. For example, virtually all school boards would claim that their mission is to provide high quality education. However, particular boards or schools within boards may have much more specialized missions. One school may concentrate on basic literacy and numerical skills, another may concentrate on technical trades preparation, another may concentrate on academic excellence, one may be specially for handicapped students, and so on. So-called "alternative schools" in the Toronto Board of Education have different missions than traditional, large, neighbourhood schools. All of these different types of schools operate under the general mission to provide good quality education, but their specific types of students and programs provide a variety of specific missions which differentiate one school from another. The basic purpose of a sense of mission is to provide a unifying set of values and commitments among all personnel in an educational organization. To the degree that a sense of mission is developed, then the resources of the education system can be committed in a consistent and concentrated manner. If there is no particular sense of mission in a particular organization, then there is little chance of consistency of effort and different individuals may work to pursue different concepts of what the organization is trying to achieve.

The appraisal system, as part of the culture mechanisms of the organization is based on criteria relevant to the organization mission and the evaluation system distinguishes between levels of performance for the purpose of reward and recognition. Thus the appraisal system is designed specifically to elicit and reinforce professional behaviours which are consistent with or contribute towards the organization's goals and missions.

The same principle applies to the use of normative models for professional service. If the organization has a strong conviction that a particular method of professional service will provide the best results,[14] satisfy a purpose, or achieve a mission, then the appraisal system would be designed to elicit behaviours which fit the normative model. Normally this is done by use of an activities-based or process appraisal system, but can also be done using a results or quasi-results-based appraisal system. The key question with respect to a normative model is whether it has any validity for actually being an effective or more effective method of performing some professional service. Conceivably, an appraisal system could carefully monitor professional activities for correspondence to the model, but the organization goals or mission may still not be achieved if the model is unsound.

Among the organizations in this study, only a few had explicit normative models for professional services which were based on theories published by respected authors in the field. Almost none attempted any sort of validation research to see if professional service corresponding to the theory actually generated better professional service or results. Most organizations which used some sort of normative models based them on face validity, i.e., "common-sense" or collective judgements by task forces about what constituted or was necessary for good professional service. If these collective judgements are valid, then appraisals based on these models can also be valid. Once again, there was little or no evidence of any attempts at validation research for locally developed normative models.

For supervisors and administrators, there is a similar dearth of explicit normative models for how the work of supervision or administration should be done. Despite this lack, there was no shortage of lists of supervisor qualities or dimensions of performance for the appraisal of supervisor performance. The source of these qualities and dimensions appears to be generally held beliefs about the work of supervisors which are part of the culture of management in North America. This belief system or management culture seems to cut across all types of organization so that the implicit model of "good" managerial performance is much the same in business and educational organizations. One example is the way that the basic principles of MBO as a style of management can be routinely found in all the organizations studied in this research project.

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[14] See for example, Skinner, B. F. "The Shame of American Education". American Psychologist 39 (September 1984), pp. 947-956. This article advocates programmed learning.

The conclusion here is that to the extent that an organization has an explicit mission or normative model for professional service, the appraisal system can be used as a powerful technique for achieving the mission or implementing the normative model. If these assumptions are left implicit or if there is wide variance in these assumptions, the appraisal process will be less effective for these purposes. Consequently it is necessary for an organization to clarify whether there is a strong sense of a particular mission for which collective energies should be marshalled, or a strong conviction about a normative model of professional service to which collective energies should conform. If either of these situations is true, then the appraisal system should be designed to specifically contribute toward these purposes. If neither of these situations is true, then the appraisal system should not be expected to serve these purposes. Instead the appraisal system would be used more for routine, administrative purposes and administrators would have to accept the fact that a variety of approaches to professional service would be practiced in the organization.

3.5.3 Career Stages of Professionals

As was discussed in the conclusions to the review of the literature on performance appraisal, it is possible that different approaches might be used for different stages of a professional's career or for different levels of jobs in the organization. For entry level or probationary staff, the primary decision to make is one of selection: does the person appear to have the qualifications necessary to perform the job requirements? Appraisals for this purpose concentrate on a candidate's qualifications, competencies, and abilities, while evaluation is concerned with whether a person satisfies the minimum standards. Candidates who are beyond the probation stage have to actually use the competencies (i.e., maintain standards) and start to work on professional development so that they become the equivalent of masters or seniors in their field. Appraisals in this case would only monitor in some routine fashion the maintenance of professional standards and instead concentrate on ensuring behaviours which demonstrate the standards in action.

For senior staff, the maintenance of standards and the ability to do competent professional service is well established and there should be little need even to monitor in these areas. Instead, the appraisal process should focus on professional development and perhaps the performing of new roles within the organization (i.e., monitoring for juniors, area co-ordinators, program planners, assistant administrators, possible preparation for a career switch to administration, development of a specialty, and so on). Appraisals for these purposes would essentially be based on plans and results.

A fourth type of appraisal situation which is not really directly related to career stages is special performance review or renewed probation for situations of continued, unsatisfactory performance. The details of special performance reviews have been discussed extensively throughout this report and it is sufficient to reiterate here that this is a common example of a special type of performance appraisal being used for a special situation in performance.

Most of the organizations in this study had an implicit system of different approaches to appraisal for different stages in a professional's career, while there was a more specific distinction between types of appraisal for the professional service levels and the supervisory levels of the hierarchy. The implicit differences in appraisal could occur even though the formal appraisal system did not provide for such distinctions. For example, one school used a combination of required competencies with established criteria, goals, and plans for teaching behaviour and professional development goals and plans. Principals in this system were required to use all three aspects of the appraisal system for all teachers. Informally, the principals concentrated on appraisals of competencies for new staff; appraisals based on observations of teacher behaviour, goals, and plans for younger, permanent staff; and appraisals based on professional development goals and plans for senior staff. The parts of the appraisal system which were considered to be non-relevant to different categories of teachers were given cursory treatment. This informal procedure was used both to cut down on paperwork and also to avoid redundant appraisals. The principals knew who the good teachers were by the time they become senior staff and it was felt to be redundant to try to appraise them on basic competencies and teacher observations.

The conclusion here is that what works informally and effectively in appraisals in many of the field site organizations could also work more formally as a means to reduce paperwork and increase the relevance of appraisals. To this end, an organization could use a comprehensive and multi-faceted appraisal system in recognition that some aspects will or will not be relevant to different persons or change in relevance for individuals over time. Thus if a supervisor established that a person has satisfied performance requirements for one level of professional service work, the appraisal focus can turn toward other requirements. The completed requirements can then be monitored on an exceptions basis (i.e., the person is assumed thereafter to be competent in this dimension of performance unless evidence turns up to suggest the contrary). Similarly, aspects of appraisal which are above the current level of experience of a person or relevant to a higher stage of career would not be used since they are not yet relevant to the individual.

This sort of comprehensive, multi-faceted, and selective approach to appraisals can capture the wholeness of a professional's work and yet avoid redundancy of inappropriate appraisals. The system works best for those individuals who are satisfactory or better performers and who continue to make progress in the organization. If people fail to maintain standards or make required progress, then the more comprehensive parts of the appraisal system come into play again and, in effect, a special performance appraisal system is established for that person in the same manner as described for other situations. Figure 3 illustrates how different approaches to appraisal can be used for different stages of a career.

Figure 3

Different Appraisals for Different Stages of Career

	Career Stages			
Focus of Appraisal	Entry Probation	Early Professional	Senior Professional	Special Review Situation
Professional development	Not yet Relevant	Not yet Relevant	Active Appraisal	Active Appraisal
Required performance in action	Not Yet Relevant	Active Appraisal	Monitoring	Active Appraisal
Minimum standards of competency qualifications	Active Appraisal	Monitoring Only	Exceptions Appraisal	Active

3.5.4 Absence of Mission or Normative Model

Despite the importance of having an organization mission and normative model for professional service, many organizations will not be able to specify a normative model. Instead, the organization may propose a very general mission, such as "provide good quality education" and remain non-specific on what is good quality education or how it is to be achieved. This situation may occur due to lack of expertise among senior administrators or trustees, lack of willingness to confront these questions in detail, or absence of consensus on these issues. By remaining at the level of generalities in missions and normative models, the organization tries to avoid conflict and tolerates a wider range of acceptable professional behaviours and results.

Given this situation, how does the organization approach the appraisal of performance for professionals? Two strategies seem to be commonly used in such situations. The first strategy is to try to recruit and select the best possible candidates at the outset and turn them loose to do the best that they can. If the majority of the human resource inputs into the organization are the best possible quality, then it is assumed that they will somehow generate good results from their collective effort. Such an approach is commonly used in research organizations requiring a high degree of innovative or creative professional work, such as "think tanks" or "institutes for advanced studies". The obvious question with this approach is how does the organization select the best possible resources if the organization has no clearly defined mission or normative models from which the selection criteria can be derived? The usual answer to this problem is that in the absence of internal selection criteria, the organization uses external selection criteria which are hoped to be of relevance to desirable performance. Common examples are grades from college, references, professional or government certificates. In other words, if someone else testifies that the candidates are good performers in some aspect of related professional behaviours, then the organization will accept these candidates as being suitable.

The same practice applies for administrators where the board of education does not have an explicit mission or normative model. The board tries to hire the best possible candidate(s) as superintendents, directors, and principals, and turns them loose to work toward whatever they think is best. In some cases, a school board may hire a particular superintendent to provide the board with a sense of mission when the board cannot develop a sense of mission or cannot decide on how best to achieve a mission. In this case, the board looks to external references or reputations of people to choose a candidate as being suitable.

The second strategy used in the absence of explicit mission or normative models is to delegate these decisions to the professionals themselves. This practice is commonly used in professional bureaucracies but is a source of continuing tension between the administrative component and the professional service component in the organization. The strategy of delegation of decisions on missions and methods to professionals can work if the organization has a high degree of confidence in the professional component. This confidence may arise from the first strategy (careful selection to obtain high quality resources) and by demonstrated high quality performance by the professionals. Then the question arises, what is high quality performance in the absence of any established standards? The answer to this question seems to lie in the murky area of collective, subjective judgements by either the administrative component or by the clients affected by the professional services. If either or both the trustees who provide the financial resources or the clients who receive the service decide in some way that they are satisfied with the services, then confidence is established for delegation of self-regulating responsibility to the professionals and administrators.

This system of operation is essentially very similar to the relationship between society and the legitimate professions, such as medicine. If society is largely satisfied (by non-specific and wide ranging criteria) that the medical profession is providing good service, then society is willing to delegate responsibility to the medical profession for self-regulation and self-definition of normative models. If and when society senses that the profession fails to satisfy some non-specific but sensitive boundary or standard of professional practice, then society reasserts the right to regulate the profession (i.e., coroner's inquests, malpractice lawsuits, new government regulations). The same general principle can exist in public education. If the community (trustees, parents, students, employers) are largely satisfied in a collective sense with the educational process and results, then responsibility for definition of mission and normative models for professional service can be delegated to the education administrators and professionals. If a crisis of confidence occurs, then the community, through a variety of representatives, must act to reassert responsibility and authority. This relationship of community vis-à-vis a profession must hold for virtually any profession because the community provides the resources for the profession and the ultimate justification for any profession is service to the community.

Appraisal of performance for organizations using the strategies of selection and delegation can be both a simple and difficult process. The process can be simple because supervisors have little to go on in appraising performance in the absence of established or agreed-upon criteria. In such circumstances appraisals tend to focus on personal qualities, qualifications, or competencies of the professional, similar to those required at the time of selection. As long as these qualifications are maintained at least to some minimum standard, the person is assumed to be competent in other aspects of their work. Such appraisals can be supplemented by impressionistic judgements about the person's performance, such as evaluations by students, peers, parents, or supervisors on whether the person is a "good" performer. With this approach, no one is quite sure what the person does, how the person achieves results, or what makes the person a "good" performer, but the collective impression is that the person is satisfactory. Such appraisals are simple to administer and are suitable for a number of routine administrative purposes, provided that impressionistic satisfaction with performance remains at a suitable level and that contentious personnel decisions do not have to be made based on such documentation of performance. It is when performance problems and related decisions have to be confronted, that what appeared to be a simple appraisal system becomes difficult.

If definition of normative models of professional service is delegated to the professionals themselves, appraisals can be greatly clarified if the professionals achieve a consensus on the normative model. Once a consensus model is developed, then the appraisal system can use criteria based on the model in exactly the same manner as with a model developed by management. The profession can also be self-regulating to a much larger extent if there is consensus on a normative model (at least within a particular community - the consensus does not have to be across the entire profession). However, a common situation in professional bureaucracies is that little consensus exists among professionals about the most effective methods and approaches to provide professional service. Consequently it is difficult for the professionals to be self-regulating if they have significantly divergent views about what constitutes good professional service or results. Appraisal in these circumstances reverts back to impressionistic judgements about "good" performance based on non-specific, subjective, and non-aggregated criteria.

These types of impressionistic judgements are commonly used in peer appraisals and substantial research has been found to indicate that peer appraisal is effective in distinguishing levels of performance and predicting potential for future performance. Thus an argument can still be made for delegation of responsibility for self-regultion to professionals even when there is lack of consensus on normative models, providing that peer appraisals are the principal means of appraisal.[15] If the organization or the professionals themselves are not willing to accept peer appraisals, then it is difficult to accept self-regulation in the absence of professional consensus on mission and normative models.

Appraisal of administrators under conditions of absence of mission or normative model also implies that the appraisers (trustees, board, superintendents) have to have confidence in the work of the administrator. Such confidence has to be based on impressionistic judgements about whether "things are going well" or the appraisers "feel" that performance is satisfactory according to their non-specific, impressionistic criteria. Very often, it is the administrators themselves who prepare a case for why their performance is satisfactory, using the criteria that they feel are suitable (or that they feel will make them look good). If the presentation of a case is sufficiently forceful or convincing, the trustees have to accept the self-evaluation because they do not have any criteria or standards of their own in the absence of a normative model and/or mission for the education system. Consequently, it is very important for those doing appraisals of administrators to have a fairly clear concept of what the organization is trying to achieve so that a context is available for appraising the achievements cited by administrators.

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[15] An important aspect of peer appraisal is the requirement that the peers themselves be competent performers. There is some evidence to show that less competent performers are less effective in peer appraisals than more competent performers. See, Ondrack, D.A. "Source of Error in Peer Appraisal and Performance Level of Appraiser". Brussels, Belgium: European Institute for Advanced Studies in Management, Working Paper, May 1977.

3.6 DESIGN, IMPLEMENTATION, AND SUPPORT OF APPRAISAL SYSTEMS

Once questions have been answered about purposes, missions, and so on of appraisal systems, the next stage, chronologically, is design and implementation of the system. However, as has already been shown, the basic design of a system may be strongly influenced by the choice of purposes for a system, so that the boundary between deciding on purposes and deciding on overall design may be indistinct. Design of the operational details of a system may be quite separate from the design of the general outlines of a system. Implementation can also be thought of in two ways. Implementation of the concept of an appraisal system, or communication about the purposes and general approaches, may occur in very close association with the process of choosing purposes and design of a system. Implementation of the operational aspects may occur through training and procedural manuals long afterwards.

3.6.1 Design and Implementation

Generally there were two approaches to design and implementation used by the organizations in this study: the top-down approach and the consultative approach. In the top-down approach, the purposes, design, and implementation of a system are determined by senior management with the aid of the personnel department and conveyed to employees as part of the conditions of employment in the organization. This approach was used by most of the businesses and about half of the colleges and schools. In the consultative approach, senior management invites the participation of subordinates in various forms of joint-committees to work on the development of a system. Usually in the consultative approach, senior management has decided on the major purposes of a system, but invites consultation on the design and implementation, particularly for the operational details. The consultative approach was used by a few businesses and the rest of the colleges and schools.

The consultative approach has some definite advantages in terms of quality of decision-making and acceptance of decisions. According to Maier[16] and Vroom,[17] consultation by those about to be affected by decisions increases the relevant information available for the decision-making process. In the science of decision theory, the greater the availability of relevant information, the greater the probability of higher-quality (or intelligent) decisions. Secondly, the act of participation in decision-making increases the perceived legitimacy and hence the acceptability of decisions to those who participated. The effect is not as strong when the participation is done by representatives of affected groups, but the legitimacy and acceptability of decisions is still greater than if there had been no participation at all. Consequently, there is an indistinct boundary between decision-making about an appraisal system and the beginnings of implementation of a system when the consultative approach is used.

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[16] Maier, N. F. Psychology in Industrial Organizations. 4th Ed. Boston: Houghton-Mifflin, 1973.

[17] Vroom, V.H., and Yetto, P. Leadership and Decision-Making. Pittsburgh: University of Pittsburgh Press, 1973.

The disadvantages to the consultative approach are that it takes longer and senior management has less control over the outcomes. The sheer act of having to involve more people in the thinking, discussion, and deciding about complex issues inevitably requires more time and can degenerate into a seemingly endless series of unproductive meetings (some organizations used process-consultants for these meetings to make more effective use of time). Secondly, if participation is to be truly legitimate and not just a sham, senior management has to be prepared to accept valid suggestions and concerns from all the participants in the joint-committees. This does not mean that everything suggested has to be accepted and it is assumed that all committee members will act in a responsible manner, but it is obvious that if senior management systematically rejects all suggestions, the consultation process will degenerate into a meaningless exercise. This in turn will have a negative effect on the perceived legitimacy and hence the acceptability of decisions arising from the process.

Thus if senior management is not really prepared to accept valid participation in decision-making *or* if senior management has very firm convictions about goals, mission, or normative models of professional service, then the consultative approach is probably not appropriate. Instead, what Maier[18] calls a "tell and sell" method of designing and implementing a system is more appropriate. In the "tell and sell" approach, senior management makes the fundamental decisions about purposes, basic design, and perhaps many operational aspects of an appraisal system. Then senior management goes to great lengths to describe the system and how it is supposed to work (tell), as well as giving extensive reasons and rationale for this particular approach to an appraisal system (sell). If subordinates become convinced by justifications offered for a system (sold) and accept the operational workings of a system (told), then the implementation will not be especially difficult. Needless to say, if senior management provides inadequate justification for a system or poorly communicates the operations of a system, the legitimacy and acceptability of the system will be poor as well.

The top-down approach is often preferred by many managers because it provides the appearance of being a simpler and faster method, while consultation has the appearance of being slower and more complicated. However, as Ouchi[19] has observed in contrasting American and Japanese styles of management, American organizations tend to use fast decision-making at the top with consequent long periods of implementation of decisions. Japanese organizations, in contrast, use consultative decision-making at lower levels which requires a long time to reach a decision, but implementation is very fast once a decision is made. In deciding which approach to use, senior management have to evaluate their own values on participation, their strength of convictions about mission or normative models, and their priorities regarding urgency and acceptability of decisions.

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[18] Maier. *op.cit.* 1973.

[19] Ouchi, Wm. *Theory Z: How American Business Can Meet the Japanese Challenge*. Don Mills: Ont., Addison-Wesley, 1981.

A middle approach to design and implementation of a system can also be used where some aspects of decisions are centralized to senior management and some are decentralized to affected personnel. This approach was used in some of the schools and colleges and seemed to work satisfactorily. In these cases, senior management made the fundamental decisions on either basic purposes, missions, or long range goals to be served by an appraisal system while the decision-making about operational aspects was delegated to local school boards, departments, branches, and so on for implementation. The centralized decisions also establish minimum standards or requirements that would have to be satisfied by any locally developed system, such as rights to due process, confidentiality, or discussion of feedback. If the centralized authority has a strong conviction about minimum standards of professional service (such as competencies) or a particular method of professional service (such as mastery learning), then these will be standardized requirements for all subsystems as well. In other words, the central authority defines a common core of appraisal aspects which have to be satisfied by all systems, but leaves definition of the other aspects up to local joint committees for decision making. If the common core is very comprehensive and specified in great operational detail, then a top-down system is essentially being used because very little scope is left available for local decision-making. If the common core is essentially a statement of principles and philosophies with little operational definition, then a great deal of scope is delegated to local decision-making.

The scope and comprehensiveness of the common core is a matter determined by the degree to which the central authority is willing to trust or has confidence in the local decision makers. In one U.S. School site, a local school board complained that a new State system left very little to local discretion and that the appraisal system developed locally, prior to the State system, had actually deteriorated under the State system. In one of the colleges, three very different appraisal systems in different departments were developed which satisfied the common requirements of the college and also satisfied the particular needs of each department.

3.6.2 Implementation and Support of a System

This section refers to the operational implementation of an appraisal system and subsequent support and maintenance of a system. This can be a very detailed topic because the development of appropriate training programs and maintenance systems can be very complicated. Such detail is beyond the scope of this report and these conclusions will be concerned with general patterns.

All of the organizations developed extensive manuals and procedures for orientation of supervisors and subordinates to the appraisals system as well as guidance in conducting appraisals and documenting the process and the outcomes. In this sense, the procedures for implementation and support were well developed. However, most training was concerned with familiarization of supervisors and subordinates with the formal manuals and procedures so that implementation concentrated on technical knowledge. Some of this technical training was supplemented by workshop sessions to discuss the philosophy and purposes of the system and/or to work through the procedural requirements of the system. In a few cases, procedural training was supplemented by role-playing exercises where supervisors could practice the application of their technical knowledge.

Training tended to be for the introductory launch only or for newly promoted supervisors. There was very little evidence of follow-up training, except on a voluntary basis in some organizations. This was seen as being inadequate support for maintenance of a system. Maintenance of the systems seemed in most cases to depend instead upon the personnel department's administrative procedures or demands for periodic appraisals and pressures for documentation. In some organizations, the outcome of this form of maintenance was the gradual development of the attitude that performance appraisal was done to satisfy the personnel department or some centralized bureaucratic procedures.

However, in most of the businesses and some of the colleges, the maintenance of the appraisal process was primarily the responsibility of management because appraisal was seen to be an essential part of the management process. In these organizations, the role of the personnel department was to provide administrative services (record keeping) to a management program. Consequently, the appraisal process was seen as a management procedure and not a personnel department or some anonymous bureaucratic procedure. In these circumstances, maintenance and support of the performance appraisal process was much stronger and consistent. It also follows that implementation of an appraisal program was also more effective when it was seen as either a locally developed (local ownership) or a management program (management owned) rather than a personnel department program (bureaucratically owned).

3.7 METHODS AND APPROACHES TO APPRAISAL

The four basic approaches to appraisal have already been discussed in the introductory section of the conclusions (3.1). The main conclusion about approaches is that there is no one best approach and that most organizations will have to use some form of multi-faceted approach. Which combination and which emphases will be chosen will depend upon the needs, priorities, and purposes of each organization. Although it was not explicitly done at any one site, it seems to be feasible to vary the mix in a multi-faceted appraisal system to match the career stage of a professional or the relative degree of satisfaction with the professional's work. A multi-faceted approach has the potential to assess the richness or complexity of a person's work, but the system does not have to be administratively complex if used on a selective basis. This was done informally in many of the sites studied. Cursory or minimal monitoring appraisals were done on aspects of a person's work where it was well established that the person was a satisfactory performer. More intensive and detailed appraisals were conducted in areas of deficiencies or where the person was working on goals for development or ambitions.

A selective, multi-faceted approach to appraisals has the advantage of being tailored to some degree to individual situations which should enhance the perceived relevance of the system. Such tailoring requires more effort and attention on the part of principals which can be both a disadvantage and advantage. The disadvantage is that principals will have to spend more time thinking about and discussing what is relevant for individual subordinates, and this will be a burden to principals with scarce time resources and wide spans of control. Many principals, for good reason, prefer the simplicity of a standardized checklist form of appraisal.

The advantage is the obverse of the disadvantage in that if principals do have to spend more time thinking about and discussing an individual's performance and deciding what is relevant in appraisals, then the quality of individual supervision and management of human resources in a school is likely to be enhanced. Principals would have to think about different teachers as individuals, with different strengths, weaknesses, needs, and stages of development. If serious dialogue occurs between principals and teachers on these issues and if appraisals are tailored appropriately, then a considerable improvement in the quality of supervision and a more effective utilization of human resources should result. Furthermore, the problem of redundant or non-relevant appraisals should also be avoided for areas of performance where satisfactory standards have been well established. It is a sore point with many in appraisal systems to have to be continually re-appraised on aspects of performance which are no longer relevant or where competency is well established.

3.8 DIMENSIONS AND CRITERIA FOR APPRAISALS

As previously stated, the foundations for the use of any set of performance dimensions for appraisal should be some theory, philosophy, or normative model of good quality professional service. Ideally the normative model should be supported by research results or be based on some more fundamental theory from a research discipline (i.e., a method of teaching based on learning theory where the principles of learning theory are derived from psychological research experiments). Failing a strong research foundation, the normative model should at least be based on some theory of professional service derived from collective experience, recognized experts, or pooled judgements of qualified persons. These judgements, such as might be found in a task force working with the aid of consultants, will not necessarily produce as valid a normative model as a research model, but this may be all that is feasible in practical terms for an organization. The normative models least likely to be valid are those borrowed from other jurisdictions or those developed in a centralized manner by administrators without any involvement by concerned professionals.

Once some sort of normative model has been developed, then performance dimensions and required competencies can be identified. The competencies should identify who can do the professional work and the performance dimensions should identify the types of behaviours that produce desirable professional work. Criteria specifications are statements or descriptions for each performance dimension which can be used to indicate or recognize different levels of performance on a given dimension. For example, a performance dimension may be, "responds to student questions." The criterion specification may be, "never responds, sometimes responds, often responds, always responds".

The key aspect to dimensions and criteria is that they have to be valid representations of the performance the organization had defined as being desirable or had chosen as a normative model. If output or results criteria are used, this is another means of representing the normative model. For example, the logic of a normative model may be as follows:

> This school will use the "ABC" approach to teaching for excellence of education (a normative model). Excellence of education will be demonstrated by "XYZ" results among the students (results criteria).

If an organization truly believes in the efficacy of its particular normative model, then it should be possible to also specify some results criteria which should be observable or testable from the use of the model. If the results criteria are actually produced, then the use of the model is justified or the validity of the model is established. In practice, very few of the organizations in the field sites had a well developed or explicit normative model of professional behaviour as a foundation for the appraisal systems and even fewer used results criteria to verify their model. Instead, many of the colleges and schools put a lot of effort into identifying competencies and performance dimensions which were believed to be important for good teachers, but the schools did not actually define what was a good teacher. The concept of a good teacher or good teacher performance was an elusive construct, which people could sense or feel but could not explicate. Task forces grappling with this problem had to pool impressions and concepts more on the basis of what a good teacher did not do rather than what a good teacher actually did. If a particular performance dimension was proposed and accepted, it was because the consensus of a task force was that the dimension was appropriate, but no one could say exactly why it was appropriate. The process of choosing performance dimensions can only be described as pooled judgements, collective wisdom or "common-sense". If the "common-sense" turns out to be largely accurate, then the organization will turn out to have a relatively valid foundation for the appraisal system.

The difficulty faced by a task force in identifying specific, justifiable performance dimensions or criteria also explains why so few organizations are able to be explicit about results as performance criteria. It is conceptually easier to think of results in general terms or as general statements, such as "excellence", "good quality", or "positive learning environment", than it is to specify criteria for such terms. Moreover, it is very unlikely that specific results can be comprehensive as criteria for all aspects of an organization's or an individual's performance. Consequently, results criteria have to be compromises which, it is hoped, either represent high priority aspects of performance or, more likely, represent aspects which are easier to measure. If results criteria have to be compromises or can only represent subsets of performance, there is a natural reluctance to be held accountable on specific but perhaps questionable criteria.

Figure 4 shows the relationship of dimensions and criteria to the other major components in an appraisal system. Parts B and C of the figure show dimensions and criteria for appraisal. Dimensions of performance represent the variety of aspects of performance which are seen to be consistent with and contributory towards the normative model. The challenge in identifying dimensions of performance is to be both accurate and comprehensive to capture the full range of the richness and complexity of a professional's work. As mentioned previously, an exception may occur when an organization wishes to emphasize some particular subset of

Figure 4

Basic Elements in an Appraisal System

A. Competent Professional
-minimum standards of competencies
-criteria range for competencies

B. Normative Model of Professional Service
-defined approach
-dimensions of performance

C. Performance Criteria
-range of performance on each dimension in normative model

D. Professional Behavior
-monitoring and data gathering for supervision and appraisal

E. Organization Mission
- compare desired results to actual results:
a) compliance with model
b) outcomes from model

F. Performance Evaluation
-compare individual results to desired results:
a) compliance with model
b) outcomes of performance

G. Personnel Decisions
a) Retain, Reward
b) Develop, improve
c) salvage or dismiss

professional activities for priority attention. This may be done to simplify appraisals (i.e., these key activities are assumed to be surrogates for a wider range) or to concentrate professional attention on some important deficit in organization performance. All organizations will have to make trade-off decisions in deciding on how comprehensive a list of dimensions of performance to develop and on the weights or priorities of various dimensions. It is unrealistic to think that all activities can have equal weight in importance. The weights assigned to different performance dimensions can provide important clues to the sense of organization mission and normative model. If the mission and model are largely implicit and exist in the organization culture, then one has to examine weightings of performance dimensions (unfortunately often implicit as well) to try to understand the culture.

The challenge to development of criteria is to describe or find indicators of a range of performance for each dimension of performance. A particular criterion may consist of a two-point scale (anything below is unacceptable, anything above is acceptable) or some form of continuum (usable for development purposes or to distinguish relative levels of performance). If the criteria are highly explicit so that performance can be rated accurately and with reliability by external observers, then the criteria are said to be objective. Where criteria are not explicit for a performance dimension or cannot be rated with reliability, then the criteria are said to be subjective. While everyone seeks to develop objective criteria for performance, the reality is that many criteria are subjective and hence subject to dispute. Given this reality, the key issue seems to be acceptability of criteria more than objectivity. Where there is low acceptability about a performance dimension or how it is measured, then there is a strong need felt for objective criteria for performance. Where there is mutual confidence and acceptance between supervisors and subordinates, then subjectivity in appraisal criteria is more acceptable.

This was found to be the case in organizations in this study. Where there was a climate of lack of trust or confidence (i.e., fear of layoffs, lack of confidence in standards of teachers' colleges), the appraisal systems were characterized by considerable attention to detail and precision in criteria of performance. Where the level of organization performance was well established and confidence existed between supervisors and professionals, the appraisal system criteria were less detailed and more individually negotiated. Under conditions of extreme lack of confidence (i.e., special performance review, salvage programs), the performance dimensions and related criteria specifications became very precise.

The exact nature of performance dimensions and criteria cannot be generalized from this study. It is up to each organization to develop its own set of required competencies, performance dimensions, and criteria to fit the organization's particular choice of mission and normative model of professional performance. If these choices are delegated to the professionals themselves, then the responsibility for these decisions and degrees of specification lies with the professionals. In either case, the degree of specification will vary with the strength of conviction about mission or normative model or the overall impressionistic sense of satisfaction about organization performance. If there is a strong need felt to pursue a particular mission or implement a particular model, then there should be a higher degree of specification of performance dimensions and criteria consistent with the mission/model. The same is true if there is concern about the adequacy of the level of organization performance. On the other hand, if there is no sense of urgency about mission/model or level of organization performance and if there is relative overall satisfaction with this situation, then performance dimensions and criteria can be much less specific.

The conclusion here is that performance dimensions and various forms of criteria can only be compromises of varying degree. No list of performance dimensions can be comprehensive, the best that can be hoped for is that the list will be reasonably representative of the important dimensions. Secondly, few criteria will satisfactorily represent the range and complexity of performance, especially for professional service types of work. Consequently, no matter how complex and detailed an appraisal system may be, the realistic limitations have to be recognized. Perhaps the most that can be expected or hoped for is a system which manages with a level of accuracy better than chance, to distinguish between acceptable (satisfies minimum standards) and less than acceptable performance. In addition some organizations may also wish to distinguish between performance which is acceptable and performance which is above the average. This latter subject will be discussed in section 3.10.

3.9 SOURCES OF PERFORMANCE DATA FOR APPRAISALS

The previous section discussed conclusions about what information should be used for appraisals. This section discusses the question of where does the information come from or who provides the information. The review of the literature and the field study results considered four basic sources of information about the work of professionals: self-reports by professionals, client reports and results, peer reports, and supervisor monitoring and observations. All of the sources of information are valid in the sense that the work of a professional impacts on all of these components of the organization and each component is a stake-holder (i.e., affected by) in the work of the professional. However, in actual practice the frequency of use of the different sources of information was quite mixed.

Self-reports and peer reports were least commonly used as a matter of practice, but when they were used, it was generally for purposes of self-development appraisals and discussions. Self-reports were also used in some MBO or results-based appraisal systems where administrators and the professionals had to prepare reports on activities, progress, and results achieved toward goals and plans negotiated at some prior time. Self-reports seem to be normally used for individuals with experience or seniority who are relatively well established as effective performers. The use of self-reporting is a mark of recognition for the established competence or capability of the person to be largely self-managing as a professional. Conversely, some organizations used short-term self-reporting for individuals in special performance or renewed probation situations to force the problem performer to confront the need to take some responsibility for his or her performance. This met with mixed success in some organizations. Employees who turned out to be salvageable responded to this treatment, others who could not take this responsibility despite repeated trials had to be dismissed.

Reports and results by clients/students and subordinates were commonly used in very market-oriented businesses and colleges as an important source of information for appraisal. The use of these sources is consistent with the mission of these organizations to be market-oriented and to succeed by providing excellence of professional service. Although a similar philosophy was espoused at many of the U.S. Schools, only two followed through with attempts to use reports by clients and results with clients as sources of appraisal information. The use of client reports/results is a key source of appraisal information for either appraisal of the work of professionals or for program evaluation of an organization's goals and plans, but the businesses and colleges seem to be more committed to this source for program evaluation than the schools. Reports from subordinates (instructors) were used in some of the colleges for appraisal of department heads. Instructors had to fill out a ratings checklist about department heads in much the same way that students filled out a checklist about instructors. While administrators were appraised on relationships with subordinates in virtually every organization, the information used tended to be either impressionistic or non-systematic, such as grievances, extraordinary personnel problems, or staff morale. Thus subordinates were not formally polled for their views on their supervisors but they could express their reactions in many indirect ways.

Supervisor monitoring and appraisals, using both formal and informal information, was the most common source of data for appraisals in all of the organizations. The key role of the supervisor in the appraisal process has been strongly pointed out in the results and in other conclusions of this report. It seems to be inescapable that the ultimate appraisal of a professional's performance rests with the information gathered and judgements made by supervisors. This conclusion holds as much for an appraisal system that is highly formalistic, legalistic, and "objective" as for a system which is informal, subjective, and non-specific. Consequently it follows, and cannot be stressed too strongly, that supervisor training at all ranks in the organization is crucial to the successful functioning of an appraisal system. With respect to content of supervisor training, it was found that most sites provided training in the mechanics of the appraisal system (policy manuals, rules, procedures), but few provided experiential training in the conduct of appraisals. Where experiential training was provided (role-playing workshops, video feedback coaching), it was rated as being highly valuable by the supervisors.

In summary, each organization has to choose which sources of information are to be used in addition to supervisor monitoring for the gathering of data for performance appraisal. The use of peer appraisals are appropriate for development purposes and where the regulation of professional services is delegated to the professionals themselves. Self-reports are appropriate for development purposes and where activities-based and results-based appraisals are used. Client reports/results are appropriate where a strong sense of mission/normative model exists or where program evaluation is desired to verify the results of a mission or model. None of these approaches or purposes are mutually exclusive and a suitable mixture will have to be chosen to satisfy the various needs and priorities of the organization.

3.10 STANDARDS FOR EVALUATION OF PERFORMANCE

As previously discussed, a distinction is made between appraisal (gathering information and providing feedback) of performance and evaluation, which concerns decision-making about the acceptability of performance. At the most basic level, evaluation is concerned with the decision about whether or not performance satisfies minimum acceptable standards. Normally, this type of evaluation occurs for two phases of a person's career: minimum standards to satisfy probation requirements and minimum standards to satisfy requirements for continuity of employment or maintenance of seniority. Minimum standards are not necessarily low standards and can evolve over time as environmental conditions and organization goals change. The second type of evaluation is concerned with distinguishing between levels of acceptable performance or to distinguish between above-average and average performers in the organization. Figure 5 illustrates the difference between the two types of evaluations. The dividing lines between non-acceptable/acceptable and above-average performance are arbitrary decisions established according to the goals or values of the organization and, of course, can be subject to dispute.

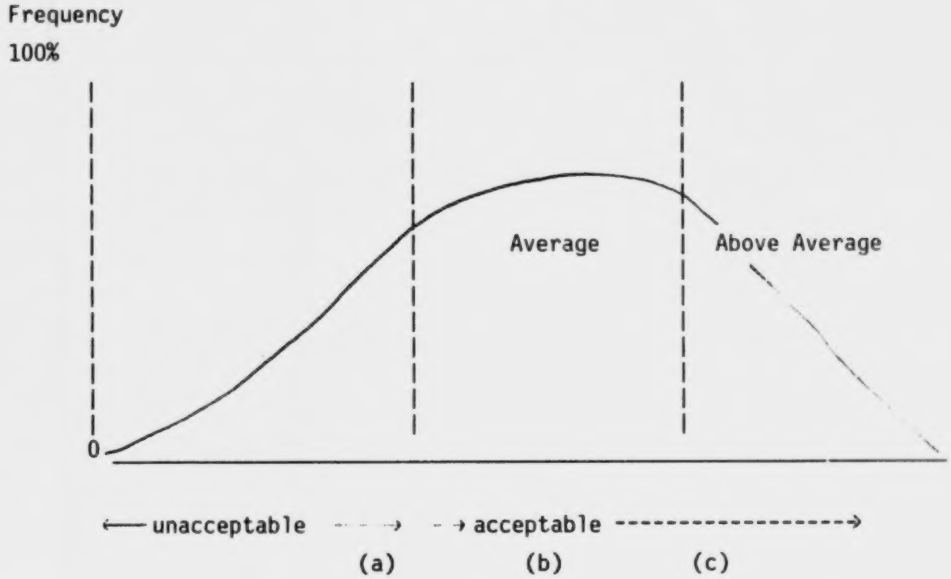
The major problem with trying to conduct either form of evaluation is that performance is not uni-dimensional, as pointed out previously, in section 3.8. For a given individual, performance may be in different ranges for different dimensions which means that the individual's performance cannot be conveniently classified in categories as shown in Figure 5. In order to make such summative evaluations, organizations have to try to use either or both of the following techniques. One technique is to try to reduce the complexity of a person's overall performance into a single, omnibus dimension called "overall performance". This is done in various ways, such as use of a summary essay or with an overall rating scale ("Overall would you rate the person as above-average, average or below average in performance"), a numerical overall rating scale ("rate the overall performance on a 1 to 5 scale with 5 being the highest and 1 being the lowest level of performance), or a numerical summary average of ratings (weighted or unweighted) on a variety of dimensions ("the average of ratings using a 5 point scale on 20 performance dimensions is ..."). Some organizations also try for summation of performance into a single dimension by rank-ordering individuals in terms of "overall performance", but this approach was found in only a few of the business in this study.

The other technique for evaluation is to segregate performance into weighted dimensions or priorities so that performance on some dimensions is more significant than others. This approach is akin to requiring passing grades on some subject areas, but high passes in other areas in order to qualify for a certificate. Normally, the weighting of performance dimensions should be a reflection of the values, mission, priorities, or normative model of the organization. Performance on the priority areas is often used to distinguish above-average from average performers in the organization. Average performers may satisfy minimum acceptable standards across all of the required dimensions of performance and above-average performers excell in the priority dimensions.

Figure 5

Minimum Standards, Average and Above-Average Performance

Normal Curve of Distribution of Performance



a) Dividing line between acceptable and non-acceptable levels of performance

b) Average performance is in the range between minimum acceptable level (a) and dividing line for above average performance (c)

c) Dividing line between average and above-average performance

If care is taken to be specific about defining the minimum acceptable standards and the priorities for performance dimensions for an organization, then performance evaluation is a fairly straightforward outcome of the appraisal process. This will be especially true if the appraisal dimensions and criteria themselves are specific and detailed. Specific standards for evaluation cannot be readily used if the appraisal criteria are very general or non-specific. Thus there should be consistency between the appraisal standards and criteria, and evaluation standards and criteria.

From the results of this study, it was clear that evaluations depended upon the ability of supervisors to make judgements about performance which reduced complex appraisal information into simplistic summaries about overall performance levels. To the extent that an organization uses such evaluation for personnel decisions (compensation, training, promotions, renewed probation), this places another heavy burden of responsibility on supervisors to make complex judgements. The literature review and some of the field site results show that many supervisors try to cope with this responsibility by evaluating most subordinates as acceptable or average. This practice has turned out to have unfortunate subsequent consequences for some organizations. The conclusion once again is that supervisor training and organizational support is crucial for effective and fair evaluations of performance.

Another caution about evaluations of performance is that they should be appropriate for the needs of the organization for management of human resources. This was a significant difference found between the business and the educational organizations. It was very important in the Business group to distinguish between levels of performance of individuals because these evaluations were the determining factor for personnel decisions about performance-based compensation, job assignments, and promotions. Secondly, performance in current job dimensions was carefully evaluated for indications of performance potential for jobs at higher levels of responsibility in the organization. These sorts of human resource management decisions were far less common in the colleges and schools, although more prevalent in the colleges. Consequently, there was far less need in the educational organizations for performance evaluations to distinguish between levels of performance or to try to identify potential for future types of performance. It follows then, that it would be inappropriate for performance evaluation in a school system to go to great lengths to distinguish between average and above average performers if the school had no need for this information for personnel decisions. On the other hand, if the school had an explicit mission and/or normative model that it wished to implement, then a performance evaluation system could be used to support, give recognition to, or reward the above-average performers toward the mission/model. This was done in all the businesses, most of the colleges, and some of the schools.

The question of evaluations for administrators is also complex. Minimum standards of performance may be very difficult to establish because of the variety of administrative responsibilities and the fact that so much of an administrator's efforts are devoted towards negotiated goals. Since these can change from year to year, there is less stability of content to an administrator's job than a teacher's job. One way to approach the question of evaluation for a supervisor's job is to think of it in terms of three major components:

a) routines which must be satisfactorily done year in and year out,

b) problems which are exceptions to routines or occur outside of routines and which must be dealt with as they arise,

c) changes which are to be worked on as parts of longer range goals and planning activities.

A reasonable minimum standard of performance to be expected of administrators is that the routines for which they are responsible should be accomplished in a dependable and satisfactory fashion. The criteria for "dependable and satisfactory" can be a complex question, but the main point is that the minimum level of accountability for an administrator's job should be the accomplishment of routines for which that job is responsible. Thus no matter who is the incumbent in the position, the organization has the right to expect that the routines will be satisfied.

The area of problems and exceptions is another type of performance for which a supervisor should be responsible, but obviously large degrees of differences in performance can occur in this area. Some individuals will have a better record at dealing with problems and exceptions than others, but the organization has the right to expect administrators to have some degree of competence in this aspect of management. What sort of evaluation is made of a person's performance in this area should depend upon the effort by the individual and the degree of seriousness of the problem or exception. If an organization wishes to distinguish between levels of performance in evaluation of supervisors, then the area of problems/exceptions is a suitable basis for making such distinctions.

Finally, performance in the area of changes or goals represents either specific commitments by administrators or specific assignments to administrators. These aspects of performance represent responsibilities or accountabilities which are different from routines and which act to individualize a person's job description. In other words a job description for a principal may have several general statements of duties and responsibilities, but goal commitments provide specific detail about one individual's duties and responsibilities while in the role of principal. Since goals and plans are specific commitments by individuals, it is appropriate for them to be held accountable for the results (or quasi-results). The evaluation of performance in this area will depend upon the assessments made about degrees of progress towards various goals and relative importance of different goals.

3.11 SPECIAL REVIEW AND RENEWED PROBATION

These special situations of performance appraisal have been frequently discussed throughout both reports and the results are relatively consistent for all the organizations studied. While the details and formats may differ from site to site, the general principles are the same. The personnel policies at each organization endeavour to provide for due process and fair treatment of each individual found to have a performance problem. Salvage programs are used, where individuals receive feedback and counselling and are provided with opportunities to recover their former satisfactory level of performance (or build up to a required performance level if new standards are established). Progress during the period of renewed probation is carefully monitored and time limits are established to allow a fair but finite opportunity to recover. If the individual apparently cannot satisfy the minimum required standards despite repeated trials and salvage programs, then the individual has demonstrated lack of competency to perform the required type or level of professional service.

Differences between the study sites were in three areas of practice. Some organizations had more explicit minimum standards of performance established than others, with the effect that individuals could be more self-monitoring and recognize when their performance was near a danger zone. Some organizations allowed longer periods for renewed probation or salvage programs with the effect that the individual had a longer time available to recover or establish necessary performance levels (or a longer time to avoid doing anything). Finally, some organizations were much more demanding in the level of minimum standards required and consequently more quick to take action if performance problems appeared. These differences in approach were not characteristic of any one group of organizations. Instead, the organizations which tended to be more explicit and demanding in performance standards, and quicker to take action on performance problems, were those who tended to be more market sensitive or had firm policies of professional service excellence. While all of the organizations had claims of goals of market sensitivity and excellence of service, some had much more definite operational mechanisms to achieve these goals than others.

The conclusion here is that if the organization has a firm commitment to a strategy of market sensitivity or a firm commitment to excellence of its professional services, then a number of policies and practices in supervision, operational procedures, and personnel policies have to be consistent with the goals or act to give force to these goals. The approaches taken by an organization in requiring high standards of performance, being explicit about standards, and taking care to maintain standards, are an example of this need for consistency. An organization which operates in a quasi-monopoly situation or enjoys secure access to resources might not feel such a need for market sensitivity or accountability for use of resources, and hence could afford to be less explicit and demanding about levels of professional service offered to the public.

3.12 PROGRAM EVALUATION AND MAINTENANCE

This last aspect was the weakest link in the appraisal system in almost all of the organizations studied and is commonly cited as a major problem in the literature. There seem to be at least three reasons for lack of attention to maintenance and evaluation of appraisal programs.

a) Exhaustion: A great deal of effort is expended in the design and implementation of an appraisal system. Planning and developing detailed administrative procedures and communication and training for the system require a great deal of organization resources. It is quite possible that a number of organization resources become exhausted in the launch stage so that little is left over for either maintenance or evaluation. Once a program is launched, people's attention may turn to other pressing problems or they may be just fed up with this particular issue and seek relief in other activities elsewhere. The consequence is that the appraisal program is essentially left to proceed on its own momentum and no one follows up on it to see that it is producing the desired results.

b) Confidence in the program: It is also possible that after a great deal of energy has been expended in what looks like a very sound and practical appraisal program, that a strong conviction exists that the program can succeed on its own merits. If the program is apparently well designed and has lots of operational specifics, procedural support, and so on, then it might be assumed that no follow-up monitoring is required and/or that the program will achieve its purposes as a matter of course. This philosophy or set of assumptions is akin to the assumption in launching a carefully designed space probe on a precise course and then expecting that it will eventually achieve its target on its own momentum. Once again, the consequence of such confidence in the merits of the technical design of a program is that little maintenance is done and evaluation is seen as being unnecessary.

c) Lack of concern: Lack of attention to maintenance or program evaluation may occur due to confidence in the system but may also occur due to absence of any negative information about how the system is operating. If there is no concern or effort to seek out maintenance/evaluation information and no such information intrudes into management consciousness, then problems can evolve and magnify for a long period before problem awareness suddenly becomes apparent. Even if problems do not develop, the management of the organization is still blissfully unaware of what is really going on in the appraisal system. Lack of concern may also be due to lack of sophistication in management or in any of the parties involved in the design and implementation of an appraisal system. For example, if a joint task force manages to develop what they feel is a good system and they also feel good about the process of developing the system, their level of satisfaction may cause them to be blind to the need for systematic evaluation of their creation.

Among the organizations in this study, three patterns of maintenance/evaluation were observed: program audits by the personnel department, program audits by management, and program evaluation. Each of these will be discussed in turn.

d) Program audits by the personnel department: This is the most basic form of maintenance/evaluation and the most commonly practiced in the organizations studied. In this approach, the personnel department has the responsibility for the administration of the appraisal program and manages the procedures and documentation of the system. Appraisals are done by supervisors but the maintenance of the required routines is done by the personnel department. Thus maintenance of the appraisal system is accomplished insofar as procedural compliance is monitored and enforced. Evaluation in this approach is concerned with whether or not the system procedures are followed. If the procedures are judged to be satisfactorily followed, then the program is evaluated as being satisfactory. Little attention is devoted to what sorts of results are produced by the appraisal procedures or whether or not the achievement of organization goals is being enhanced by the procedures.

This is basically a bureaucratic administration approach to maintenance and evaluation and can be effective if the procedures actually are valid in terms of producing desired results for the organization. If the systems procedures are valid mechanisms for achieving results, then it makes sense to audit for compliance with procedures. The disadvantage of audits by the personnel department is that the appraisal program can be perceived over time as being a personnel department program more than a management or joint committee program.

e) Program audits by management: This approach to maintenance/evaluation is used when management uses performance appraisal as an integral part of the process of management or supervision in the organization. If appraisal and evaluation of performance is one of the manifestations of management responsibility, then it follows that audits of the process should be done by management. For example, a performance dimension for appraisal of supervisors could be an assessment of how well the person carried out appraisals of subordinates. In practice it was found that management audits tended to be concerned with the results of appraisal procedures more than the administration of procedures. Responsibility for administrative maintenance was still given to the personnel department, but management was sensitive to problems of exceptions or disruptions in procedures which suggested that some persons were not taking their supervisory responsibilities seriously or that certain procedures were unworkable. Otherwise management would look at the appraisal systems for producing results, such as: how many persons are rated as outstanding, how many are near the marginal levels of performance, how many are progressing satisfactorily, how many are due for promotion, what is the evidence for goal achievement/non-achievement, and so on. These tend to be short-term goal or operational results which are useful inputs for subsequent management planning. If the appraisal system provides necessary information for planning and information about progress towards goals, then the system is assumed to be effective in achieving the overall goals for the appraisal program.

Management audits of appraisal systems were used informally in most of the organizations studied. The most basic level of audit was concern for exceptions to required procedures and this information was generally provided by the personnel department. The next level of audit, and much less common, was concern for exceptions to results that should have been produced by the appraisal system for use in management planning and decision-making. This concern was most commonly felt in the Business group where the appraisal system was an important source of information for human resource planning and decisions. If the appraisal system was somehow deficient in providing information needed for decisions on compensation, development, and promotions, for example, then management would be quite concerned about these exceptions to expected results. In the educational organizations, on the other hand, there was less variety of human resource decisions to be made and hence less managerial need for information from the appraisal system.

A similar sort of maintenance/evaluation of an appraisal program is used if the program was developed by a joint-committee. Responsibility for procedural compliance may still be delegated to the personnel department and the representatives to the joint-committee can use a managerial approach to maintenance/evaluation by focusing on the short-term results of the system. In this case, the variety of results examined may be somewhat wider than those used by management. For example, a joint committee may look at results such as: are weak performers fairly identified and do they receive fair opportunities for salvage; are all persons treated with fairness and equity so that discrimination and bias are avoided; do all persons have equal opportunity for development and career progression, and so on. This list is not to suggest that management would be unconcerned with these issues, but instead to suggest that joint committee representatives would be more sensitive to these results from an appraisal system.

f) Program evaluation: While program evaluation can be concerned with procedural compliance and short term results of a program, the discussion here will be on achievement of program goals. In section 3.5 it was stressed that an organization should try to define goals and purposes to be served by a performance appraisal program. Secondly, it was stressed that goals and purposes should be related to the special needs or situation faced by an organization in relation to its environment. The subsequent topics of design, methods, and implementation are all concerned with the creation of an organization mechanism (the appraisal system) for the achievement of, or the direction of effort towards, those goals and purposes. Program evaluation is concerned with completing the cycle by examining whether the mechanism does in fact work towards or achieve those goals. In effect, program evaluation is an attempt to verify the appropriateness of the designs of the appraisal system or do a validation study on the system.

While it would seem that program evaluation is a crucial activity in the management of an appraisal system, and is consistently recommended in the literature, it was actually found rarely in practice. A minority of the schools, colleges, and businesses made partial attempts to verify the effectiveness of their appraisal systems by trying to follow-up on results obtained with clients/students. No one used the relative rigour of before/after studies with control groups for evaluations, but some did comparisons of achievements by their clients to reference norms of achievements. Otherwise program evaluation consisted of "reaction" evaluations as described by Kirkpatrick.[20] The rest of the appraisal programs were informally evaluated by managers' subjective and impressionistic evidence about whether a program was "working well" or relatively free of problems. If programs were felt to be satisfactory as a result of such impressions, then it was assumed that progress was being made toward the achievement of organization goals.

This can be a dangerous approach to evaluation of a program because satisfactory progress on established procedures and lack of disconfirming short-term evidence are only suggestive of or consistent with achievement of goals and purposes, but cannot be equated with such achievement.[*] If an organization has chosen a mission to which it attaches great importance or a normative model of professional service in which it has great confidence, then the organization usually commits a great deal of resources to the mission/model and the appraisal system is a major mechanism for the achievement of the commitment. Consequently, it is of great importance to follow through with program evaluation to ensure that the organization's resources are not being wasted or that the appraisal system is actually fulfilling its role. The fact that so few of the organizations were using a formal approach to program evaluation suggests that either they do not realize the danger of such an omission or that they have great confidence in the appropriateness of their particular approach to appraisals. As was seen in section 2.8, one school was going through a great deal of difficulty at the time of the study due to the belated recognition of some flaws in the design of their appraisal system.

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[20] Kirkpatrick, D.L. "Techniques for the Evaluation of Training Programs". Journal of the American Society of Training Directors 13 (1959), pp. 3-26. See also his "Evaluating Training Programs". Training and Development Journal 22, No. 5 (1968), pp. 2-9.

3.13 SUMMARY CONCLUSIONS

In summary, three general conclusions are derived from the results of this study.

a) Different approaches and priorities in appraisal systems are used for relevance to the local situation of a particular organization or school jurisdiction. This requires all participants in the development of a system to carefully consider the needs and characteristics of their situation and carefully develop goals and purposes appropriate for their situation.

b) Appraisal systems can be expected to go through stages of evolution as all participants have to go through a learning curve of experience with a system. Therefore no one design can be expected to be correct at the outset nor remain in force indefinitely. Different approaches to appraisal may have to be used for different stages of individual career cycles, different levels of jobs in the hierarchy, and for different levels of experience with a system.

c) An appraisal system developed jointly between supervisors and subordinates has a better chance of incorporating diverse but relevant points of view than a system developed centrally by top management alone. The greater the opportunity for participation by parties affected by a decision, the greater the potential quality and acceptability of the decisions. However, a need also exists in large organizations to ensure that equity, fairness, and minimum standards are provided for across all systems of appraisal. A workable solution seems to be a centrally developed (with joint participation) system of universal standards which have to be provided for by any appraisal system and then delegation to local authorities (or joint committees) for the development of local, operational specifics.

In the end, no system of appraisals can be workable, no matter how carefully designed, if the people who have to work with it and live by it do not view it as being acceptable and legitimate. Representative participation in the development of a system was not found to be absolutely necessary for acceptability and legitimacy of a system, but participation was found to greatly enhance acceptability. The other side of the coin is that the participants in the joint committee have to share in the goals of an organization or share in the commitment to professional service. If various participants in the planning process use participation as an opportunity for the pursuit of other political goals, then the necessary mutuality of goals will not be present, and decision quality and acceptability will not be enhanced. This caveat aside, the probability of developing an effective and appropriate appraisal system is greatly improved through the use of joint planning and development of the system.

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[*] For example, consider progress reports and short-term results of the maiden voyage of the S.S. Titanic as evidence for achievement of larger goals and progress.

APPENDIX I

U.S. Schools Group

1. Chicago Board of Education

   - Instituted a Mannagement Accountability Program for superintendents, deputy superintendents, principals, and department heads in the public school system.
   - Performance appraisal for supervisory personnel is based on management by objectives following a system of system-wide goals, objectives, action plans through to personal objectives, and action plans of individual supervisors.
   - System has been in operation for about a year after a pilot project was tested earlier.
   - A [illegible]puterized monitoring system is also used to keep track of promised due dates i[illegible]rious action plans and to co-ordinate programs between various parts of the s[illegible] system. (Based on press releases and bulletins from the Chicago Board of Education.)

2. Montgomery County, Maryland
   - Teacher evaluation program focusing on improving effectiveness, uses student evaluations, parent questionnaires, "one of the relatively few school districts that do so" (p. 48).
   - Uses eleven performance criteria with up to seven indicators for each of the criteria.
   - "Overall the system receives high marks for effectiveness". (Cited in Teacher Competency: Problems and Solutions. American Association of School Administrators, 1980, pp. 47-49.

3. High Point, North Carolina
   - Cited in George B. Redfern. Evaluating Teachers and Administrators: A Performance Objectives Approach. Westview Press, 1980: "after more than three years of operation, the superintendent regards the approach as the single most important ingredient in the district's program of professional growth".
   - Also cited in Teacher Competency: Problems and Solutions, 1980: "the High Point evaluation system is specially designed to clarify job content, motivate self-improvement, improve morale, ease communication and planning, and determine the dimensions of effectiveness or deficiency in performance".

4. State of Connecticut, Hartford, Connecticut
   - Originally intended to facilitate administrative decisions and "to get deadwood out of the system". Over several years of experience, the purposes were turned around to focus on professional development, where "teachers play a major role in setting evaluation criteria and sometimes assisting in the evaluation of others". Principals and administrators bear a heavy role in helping teachers meet objectives.

- 1979 was the compliance year for local boards to comply with the law and guidelines set by the State Department of Education. Compliance is monitored by annual progress reports submitted by school boards to the State, plus on-site validation procedures or audits conducted by the State at local school boards to ensure compliance with the law. (Cited in D.W. Ryan and E.S. Hickox. Redefining Teacher Evaluation, OISE, 1980.)

5. State of Georgia, Atlanta
    - "A leading innovator in use of the two-tiered certification process initiated in September 1980". Candidates must pass a State competency test for provisional certification and have 3 years to meet an on-the-job assessment requirement - based on classroom competence in 14 skills by assessment teams (an administrator, a certified teacher in same subject area, a representative from one of the State's 17 regional assessment centres).
    - At least two teachers and one administrator in every school must be trained in evaluation.
    - Teachers are consulted on how to upgrade in any of the 14 areas and are given a second chance at permanent certificate evaluation. (Cited in Focus: Teacher Competence, ETS, 1982) (Cited as a leader in C.D. Ellett, et al. "Assessing Teacher Performance", Educational Leadership, December 1980, pp. 219-220) (Cited in Teacher Competency: Problems and Solutions, 1980) (Cited in D.L. Walters, "The Measurement of Administrative Competencies", Phi Delta Kappa, February 1980)
    - A counterpart to teacher evaluation has also been developed for principals, called the Georgia Principal Assessment System (GPAS), developed after extensive field testing and using multiple sources for appraisal.

6. Orange County, Orlando, Florida
    - 1978 law requires candidates to pass a State competency test and complete a one year internship for a provisional certificate and have a further review for a regular certificate. Some school districts, notably Dade County and Orange County "have taken dramatic strides in teacher competency testing".
    - Testing of teachers on the job is to be considered part of the evaluation process, supplemented by classroom observation by principals. Problem cases would receive special attention, remedial training or counselling before ultimately correcting or failing to correct the problem.
    - Tenure laws will cease to exist and will be replaced by performance appraisal and contractual due process for problem cases. (Cited in Teacher Competency: Problems and Solutions, 1980, pp. 6-18)

7. Oakland County, California
    - Operates a comprehensive evaluation system for administrators and supervisors based on theories of George Redfern.
    - For teacher evaluation, the State requires four mandatory criteria for progress, teacher competence in other assignments, and teacher maintenance of a suitable

learning environment. Each school district must develop and adopt its own evaluation system within the state guidelines.

(Cited in George Redfern, Evaluating Teachers and Administrators A Performance Objectives Approach, 1980, and in Ryan and Hickox, Redefining Teacher Evaluation, 1980.

(Evaluating Teacher Performance Educational Research Service 1979)

- Oakland County also has developed a management by objectives system for performance appraisal of supervisors administrators and principals (Evaluation Procedures for Management Personnel, Oakland Unified School District, 1979).

8. Educational Testing Service, Princeton, New Jersey
    - Conducts standardized teacher examinations (National Teacher Examination or NTE) which are used for certification criteria in various states. This is important in states which use provisional certification for probationary teachers.
    - Conducts Formative Evaluation Programs which train principals and other supervisory personnel in methods of performance evaluation of teachers, and evaluation of supervisory personnel. Programs are run on-site at ETS or at local school boards.
    - The ETS workshops are under the direction of Dr. Glen Tecker who also acted as a consultant to the City of Chicago Board of Education. (From Focus #10, Teacher Competence, ETS, 1982.)

APPENDIX II

Letter to U.S. Schools Group

September 1, 1982

Dear:

The Ontario Ministry of Education is currently conducting research into performance appraisal of teachers and school system administrators. One part of our study is a review of current practice being conducted under contract by Dr. D. A. Ondrack.

After an initial review of the literature, Dr. Ondrack has selected a number of sites that appear to merit more in-depth study. Your jurisdiction is among those he has chosen. He would like to obtain your permission to approach members of your system for interviews.

If it will be convenient for him to visit some time this fall, could you suggest some contacts directly to Dr. Ondrack, so that he can arrange interviews to discuss the philosophy, objectives, and procedures and your experience with your performance appraisal system? Dr. Ondrack may be reached at the following address:

Faculty of Management Studies
University of Toronto
246 Bloor Street West
Toronto, Ontario
M5S 1V4
(Telephone: 978-4915).

I appreciate your assistance in this matter.

Yours sincerely,

B. M. Hildebrand
Director
Research Branch

APPENDIX III

Topics for Site Interviews

Interview Topics	For Supervisory Personnel	Professional Service Personnel	Probationary and Special Review Personnel
I. Initial Design & Implementation			
II. Objectives and Purposes			
III. Apprisal Design and Techniques			
IV. Criteria or Standards			
V. Choice of Appriser and Data Sources			
VI. Appraisal Interview			
VII. Assessment Period and Timing			
VIII. Availability of Training or Guidelines			
IX. Recourse to Received Injustices			
X. Link Between Formative and Summative Evaluation			
XI. Apprisal Effectiveness			

APPENDIX IV

State of Connecticut

The adoption of Connecticut's Teacher Evaluation Law by the legislature in 1974 has been the major impetus for the development of a systematic and equitable model of teacher evaluation across all public schools in Connecticut. The State Board of Education with the assistance of the Teacher Evaluation Advisory Committee identified four guiding principles and eleven guidelines to ensure that the law was satisfactorily implemented. Initially, legislation required the State Board of Education to establish minimum performance criteria for teacher evaluation. Members from various educational organizations of the State were appointed to an Advisory Committee for purposes of assisting the State Department of Education in setting these criteria. After considerable investigation and dialogue with members of the Education Committee of the State Legislature, it was concluded that no fully satisfactory method existed for isolating the effects of a teacher from the other influences on the student and that the setting of exact standards at the state level would be inappropriate.

Accordingly, changes were made to the legislation to permit the development of evaluation plans at the local level within the context of specific guidelines established by the State Board of Education.

The four guiding principles are as follows:

1. The primary purpose of teacher evaluation is the improvement of the student learning experience.
2. The local school district establishes its own educational goals. Such goals form the basis of the teacher evaluation program.
3. Ample time is provided for this goal-oriented approach to teacher evaluation.
4. A fiscal support system is established for the purpose of assisting school districts to prepare for and conduct evaluations.

All school districts were given a deadline of September 1979 for implementation of an evaluation program in accordance with state guidelines. These guidelines are outlined below.

1. Each professional shall co-operatively determine with the evaluator(s) the objectives upon which his or her evaluation shall be based.
2. The evaluation is co-operatively planned, carried out, and evaluated by all levels of the staff.
3. The purposes of the evaluation program are clearly stated in writing and are well known to the evaluators and to those who are to be evaluated.
4. The general responsibilities and specific tasks of the teacher's position should be comprehensively defined and this definition should serve as the frame of reference for evaluation.

5. The accountability relationship of each position should be clearly determined. The teacher should know and understand the means by which he or she will be evaluated in relation to that position.
6. Evaluations are more diagnostic than judgmental. The process should help to analyze the teaching and learning to plan how to improve.
7. Evaluation should take into account influences on the learning environment such as material and professional resources.
8. Self-evaluation is an essential aspect of the program. Teachers are given the opportunity to evaluate themselves in positive and constructive ways.
9. The self-image and self-respect of teachers should be maintained and enhanced. Positive self-concepts can be fostered by an effective evaluation plan.
10. The motive of the evaluations is such that it encourages teacher creativity and experimentation in planning and guiding the teaching-learning experiences provided children.
11. The program makes ample provisions for clear, personalized constructive feedback.

A number of criteria have been developed for each guideline in order to specify the conditions of each guideline and to facilitate compliance. The State Department of Education was responsible for monitoring and assessing progress in the development and implementation of a teacher evaluation plan in accordance with established guidelines. Annual school district teacher evaluation progress reports were submitted to the State Department of Education each January by the superintendent of each school district. Subsequent to the deadline for implementation, on-site Teacher Evaluation teams from the State Department have made periodic visits to local districts to assess the degree of compliance with State guidelines. In addition, a survey instrument has been developed (the Teacher Evaluation Needs Identification Survey) to assess the status of teacher evaluation practices in local schools.

State guidelines established the primary purpose of evaluation to be the improvement of the student learning experience. The program also encourages the co-operative development of secondary purposes for evaluation and these are free to vary from district to district. The Guidebook for Teacher Evaluation prepared by the State Department of Education suggests several additional purposes which evaluation may be designed to serve. These include:

1. To recognize outstanding staff performance.
2. To recommend and support needed improvements.
3. To validate the staff selection and placement process.
4. To facilitate re-assignments.
5. To plan for individual staff members.
6. To identify general in-service needs.
7. To safeguard the school system and its clients.
8. To identify needed budget requests.
9. To motivate professional growth.
10. To enhance the total learning environment.
11. To facilitate parent conferences.

12. To create teacher self-awareness.
13. To promote equalization of learning opportunity.
14. To improve staff performance.
15. To certify to the community that the educational system is sound.
16. To document staff performance to the Board of Education.
17. To assist teacher creativity.
18. To assist teachers in self-examination and renewal.
19. To strengthen the curriculum.
20. To foster a cluster relationship between supervisors and those to be evaluated.
21. To co-ordinate individual performance objectives with school or system goals.
22. To insure the efficient and effective use of all available resources.
23. To facilitate communication between different levels of the school system.
24. To establish teaching teams.
25. To recognize individual contributions to the educational system.

Individual districts are encouraged to select those purposes which best reflect the real needs of the local school district and community.

Many school districts in Connecticut have maintained a permanent on-going Teacher Evaluation Steering Committee composed of local board representatives, teachers, and administrators. The intention of the program during its design, implementation, and revision has been (and continues to be) co-operation among all levels of the education hierarchy. Guideline 2 states that the evaluation plan should be co-operatively planned, carried out, and evaluated by all levels of the staff. The State Teacher Evaluation Advisory Committee has identified four specific criteria related to this guideline:

1. There is input from all reference groups.
2. There is substantial approval of the program by all groups.
3. Active roles for each group are specified.
4. There is a procedure to provide feedback from all groups concerning the evaluation program.

To this end, district Steering Committees have been established which attempt to represent the various groups in the district affected by the program (i.e., classroom teachers, department heads, principals and assistant principals, special teachers, system-wide co-ordinators, and central office staff). The State Guidebook for Teacher Evaluation suggests that the permanent Steering Committee should be responsible for communications within the school system and community, and with the State Department of Education; for identifying specific tasks and activities; for selecting and monitoring ad hoc task forces; and for preparing, evaluating, and modifying the evaluation program. Committee members are expected to keep their particular constituency informed of the program and reflect their input and concerns.

The State recognizes the need for local school flexibility within the broader State mandate. For this reason, one of the guiding principles of Connecticut's system is that each local school district establish its own educational goals which in turn serve as a framework for the teacher evaluation program. The State Board of Education has adopted six working goals to serve as a reference for local school districts in developing their own goals.

1. Each student learns to communicate effectively.
2. Each student accepts learning as a lifelong continuing process of self-development.
3. Each student develops the skills, knowledge, and values necessary for responsible citizenship.
4. Each student increases ability to understand self and to function in one's own environment.
5. Each student acquires habits and attitudes which have proven of value for health and family life.
6. Each student applies accumulated knowledge and skills to present day living.

At the individual level, Guideline I stipulates that each professional must co-operatively determine with the evaluator(s) the objectives upon which his or her evaluation shall be based. The criteria established for this guideline include the following:

1. Written objectives for the evaluatees are developed.
2. Objectives are stated in operational (observable) terms.
3. Teachers and administrators work together in developing objectives.
4. Objectives are jointly approved.

Criteria for assessment of teacher performance are expected to combine mutually derived goals and professional self-evaluations as indicated in Guideline 8. Moreover, a comprehensive job is expected to serve as the frame of reference for evaluation. Three criteria attendant to this guideline have been specified by the State Board.

1. General responsibilities of each professional position are defined in writing.
2. Tasks for each individual are specified.
3. Above procedures serve as a reference for evaluations.

The evaluation of teacher performance across all states is based therefore upon a combination of three types of criteria: goal attainment, the accomplishment of tasks and responsibilities outlined in the job description, and professional self-evaluations. The particular content of these criteria are free to vary across districts to permit congruence with local and individual needs.

On-site interviews tended to confirm the effectiveness of the Connecticut model. By and large the evaluation program has been used more for developmental purposes than for the purposes of making personnel-related decisions (dismissal, transfers, promotions, compensation). The only criticism which emerged from on-site interviews was inadequate resources from the state to provide good training in performance appraisal for evaluators and evaluatees. Acceptance of the system has not been measured but there is an on-going assessment of compliance with State Board guidelines and the evidence collected so far is very favourable. All districts in the state have now implemented a program that meets state requirements and are expected to submit a report every three years to the State Department to advise of changes, revisions or updates to their programs.

APPENDIX V

Montgomery County, Maryland

A. Teacher Evaluation

The Montgomery County Teacher Evaluation System was designed by a task force on professional evaluation in 1972 and developed and test-piloted during 1972-1974. In September 1974, implementation began across all public schools. The system was revised in 1978 and the Evaluation of Teacher Services Instrument was revised September 1980 after considering recommendations of a staff committee and consultation with the MCEA. Although teachers were not involved in the original design, as the system was developed and implemented in late 1974 and 1975, teachers and union representatives became actively involved in the process and are now widely represented in any system changes. Unlike other field sites, teacher evaluation has not been state legislated in Maryland. The impetus, therefore, was simply, "the recognition that evaluation was needed".

In Maryland, each county operates independently in terms of the type of evaluation system used. A state commission on teacher quality was recently established although, at the time of writing, there are no state-wide standards. During the last five years enrollment has been declining and approximately 50 schools have closed (from 200 down to 158). The use of voluntary and involuntary transfers, as well as attrition, have made lay-offs unnecessary.

The philosophy underlying teacher evaluation in Montgomery County public schools incorporates the following assumptions:

1. Respect for the worth and dignity of an individual makes that individual better able to respect the worth and dignity of others.
2. Participation in setting both personal and organizational goals increases motivation for achievement and produces greater satisfaction in the results.
3. Mutual participation in the total work situation and the evaluation process allows more imaginative and creative involvement by all participants.
4. Opportunity for recognition for work well done stimulates better performance and greater satisfaction.
5. Self-appraisal as an important element of the evaluation process contributes to improved performance.

The primary goal of the teacher evaluation system is to help teachers improve their effectiveness. Short-term objectives of the evaluation system include: to communicate with teachers about their general performance on the specific aspects of their work; to establish goals for teacher improvement or for emphasis; to recommend probationary teachers for tenure, renewal, or non-renewal of contract; to recommend tenured teachers for continued status, dismissal, or classification of certificates, such as Class II (less than acceptable behaviour); and to provide information helpful in selecting teachers for promotion or special assignment.

Appraisal documents are used as one piece of data for personnel decisions relating to transfer, promotions, and dismissals. Transfers and promotion decisions are not based exclusively on appraisal documents but such files are always reviewed when teachers are considered for job changes. The ten performance criteria (outlined below) are the basic grounds for dismissal. Prior to dismissal proceedings, at least a year's evidence of "improvement" attempts must be well documented. Evaluation data are also used in decisions to move a teacher from a "Class I" to "Class II" certificate. Second class certificates are issued to those teachers whose performance is rated as not acceptable by evaluation standards. Second class certificate teachers are placed on probation and their salaries are frozen for one year. During this time the principal is responsible for conducting more observations and working closely with the individual to assist in the improvement of performance. Class II certificates may be extended for up to one year after which time the teacher either reverts to Class I (if performance has improved) or else dismissal proceedings are initiated. Approximately twelve of these certificates are issued a year within Montgomery County. Evaluation data are not used for compensation decisions; similarly, layoffs occur on the basis of seniority and program needs.

Although Maryland has a state certification law, Montgomery County is permitted to do its own certification subject to monitoring by the state. County-administered tests are knowledge based and mandatory during recruitment. Individuals who qualify on the basis of academic credits will not necessarily pass the county examinations for purposes of employment. From the time of hiring, a teacher is placed on probation for a two-year period, during which time observation occurs twice per semester and formal evaluation occurs approximately four times a year. After two years, the teacher is automatically tenured.

The design of the appraisal system represents a unique combination of performance criteria and goal-setting evaluation. Thus the basic design is hybrid, including both process-focused and output-focused standards. The Evaluation of Teacher Services Instrument (see Exhibit 1) contains the teacher's professional improvement objective(s) for the evaluation period. The major section of the instrument is performance criteria evaluation. The evaluation is indicated by the selection of one of three categories for each of the 10 criteria: Effective, Needs Improvement, or Not Effective. The norm is Effective. Exceptional performance may be designated by selecting Effective and adding a supporting statement which describes exceptional results. Supporting statements normally accompany all three categories of ratings. The evaluation must be made based on data collected during the current evaluation period only. The Overall Evaluation contained in the instrument should include recommendations made for further training, including university and in-service courses.

The goal-setting aspect of evaluation involves the selection and development of one or more professional improvement objectives by mutual participation of the teacher and evaluator, with final approval by the evaluator. The professional improvement objective is neither an instructional objective for students nor a school priority objective. Rather, it reflects the teacher's effort to improve good performance, strengthen areas of weakness, experiment in technique, or develop materials or skills. To encourage challenge without undue anxiety for the consequences of incomplete attainment, overall evaluation is not based on success/failure in the attainment of a goal, although performance on the objective may be partial evidence of performance on one or more criteria. With the assistance of the evaluator (and possibly other specialists), the teacher fills out the first three columns of the Objectives Worksheet (see Exhibit 2) and the evaluator completes the form. A summary of this worksheet is then transferred to the Evaluation of Teacher Services Instrument.

Performance of teachers is evaluated on ten specific criteria for teacher effectiveness. To help clarify the evaluative criteria, each is illustrated by a list of suggested indicators of effective performance. These indicators do not purport to be comprehensive and evaluation is based on the central meaning of each criterion, not the attainment of a certain number of suggested indicators. These indicators serve as guides to data collection and evaluators are encouraged to consider the educational context of the particular teacher in determining what constitutes the attainment of any criterion. The ten criteria and suggested indicators are outlined in Exhibit 3. Montgomery County does not have job descriptions for teachers. Rather, the ten criteria are considered "a kind of job description" which provides a framework for organizing a system to improve instruction.

Evaluation is usually conducted by one person, either the principal or assistant-principal. The Montgomery County system differentiates between observation and evaluation. Observation occurs more frequently and refers to seeing, hearing, recording, and reviewing performance throughout the year. Evaluation refers to making judgments for purposes of completing the evaluation instrument. Classroom observations may be made by the principal, assistant principal, secondary school resource teacher, area or subject supervisors and co-ordinators, or other persons with special skills or professional competencies. The principal or assistant principal must be the observer in not less than half of the minimum number of required observations and each observation must be, at a minimum, twenty minutes long. The teacher must be notified in advance of the observation only in cases where a person who is not a member of the local school staff is designated by the principal or evaluator to be an observer. The framework for observation is the ten performance criteria and notes are made of the observation in as factual and objective a manner as possible, avoiding inferences and premature conclusions. Documents are kept for a three year period; the teacher, principal, and personnel department each receive copies of the evaluation.

Pre-observation conferences are optional, infrequent, and occur at the discretion of the evaluator. Post-observation conferences are mandatory. It is the evaluator's responsibility to schedule observation and appraisal conferences and inform the teacher. Data from observations are shared, corrected, clarified, or extended and the teacher is encouraged to provide informational and material evidence of his or her effectiveness. Conferences are also held for purposes of mutually establishing the teacher's professional improvement objective(s). In an evaluation year, this conference must precede the completion of the Evaluation of Teacher Services Instrument. The teacher initials all data collected and retained for purposes of evaluation. The initials indicate that the teacher has seen the materials, but not necessarily that he or she is in agreement with them.

The Evaluation of Teacher Services Instrument is submitted once each semester for probationary teachers and once every third year for tenured teachers. If a tenured teacher's performance is in any way deemed less than acceptable, the teacher is placed on "mid-year report", following a minimum of three observations during the first semester. They will also be evaluated during the second semester of the same school year. For a teacher on mid-year report, a minimum of four additional observations is required before the evaluation form is completed. Mid-year report requires an evaluation even in a non-evaluation year.

The evaluation system also requires at least the following number of observations each year:

Tenured teacher in year no evaluation is scheduled: 2
Tenured teacher in year evaluation is scheduled: 3
Teacher holding a Second Class certificate: 5
Probationary teacher: 4 (2 each semester)

There is no formal training in the use of the appraisal system for either the evaluator or the evaluatee. Montgomery County Public Schools has developed a booklet entitled The Teacher Evaluation System which provides a comprehensive outline of the system. This booklet is available to all educational staff. However, as part of in-service training of administrators during internship, methods of teacher evaluation may be included.

If a teacher is recommended for Continued Employment, Second Class Certificate, or Dismissal, and believes the evaluation was not completed properly or fairly, he or she may appeal to the area associate superintendent within ten days of the evaluation. The area superintendent may appoint an appeals board (two teachers and one administrative representative, none of whom have been involved previously in the observations or evaluation) to review the evaluation. The purpose of the review is to determine whether the performance evaluation was based on adequate evidence gathered according to the process mandated and whether the teacher was given specific directions for improvement. Appeals in Montgomery County are relatively infrequent, approximately four or five per year.

An interesting addition to the evaluation system is the use of student and parent questionnaires to provide further feedback on performance (Exhibits 4 and 5). Every year the teacher is required to administer and analyze the results of a questionnaire given to all students. While the teacher is encouraged to share the results with principals or peers, the data are strictly confidential unless the teacher determines otherwise. Its primary purpose is to assist the teacher in self-evaluation. Similarly, teachers may administer a parent questionnaire to obtain confidential feedback on performance. Teachers may alternatively use forms of their own design after submitting a copy to the principal for approval.

In response to questions concerning the effectiveness of the appraisal system in Montgomery County, local educational staff felt that several factors were indicative of the system's success: (a) few unsuccessful dismissal cases; (b) good test scores by pupils; (c) few grievances; (d) appraisal process is well-defined and systematic; and (e) high degree of acceptance among all staff. On-site interviews also revealed a few elements of the system which local staff perceived as areas for improvement in the future.

First, some staff members are of the opinion that only seven of the ten criteria successfully discriminate between good and poor performance (criteria 1, 8, and 10 tend to be "give-aways"). Second, it is the opinion of some staff members that the present equal weighting among the ten criteria provides a less-than-accurate assessment of teacher effectiveness. Third, there remains the problem of reliability or consistency of evaluation across evaluators. Evaluations by principals may be inconsistent, for example, when a teacher moves from one school to another. Fourth, the system identifies incompetent teachers accurately but fails to distinguish sufficiently between acceptable and "marginal" performers. Finally, there is some indication that both administrators and teachers would like to reduce the amount of paperwork involved in the process.

Despite these problems, there are indications that the model is very effective. Through the State Accountability Program, Maryland administers student tests. In 1980, the 24 school systems reported a total of 168 scores. Montgomery County was highest in 162, or 96 per cent of all scores. In addition, the school system's 1982 Annual Test Report, which contains the results of the country-wide standardized testing program, indicates that all mean scores on all tests given in grades 3, 5, 8, and 11 are above the national average, ranging from the 64th to the 82nd percentile. In terms of public response, when asked in 1981 to grade (A, B, C, D, or fail) the public schools, 50 per cent of a random sample of all Montgomery County citizens gave the schools an A or B (compared to only 36 per cent of citizens in a national Gallup survey in 1981). Finally, 65 per cent of public school parents gave schools a rating of either A or B.

B. Administrator Evaluation

The philosophy underlying administrator evaluation is based on the following assumptions:

1. When there is an environment that is conducive to respect for the worth and dignity of the individual, he or she will be better able to respect the worth and dignity of others.
2. Organizations achieve their objectives only in part from external direction. Individuals are motivated by participation in setting both personal and organizational objectives. Individuals committed by involvement to the achievement of objectives will also experience greater satisfaction.
3. When there is mutual participation in the total work situation and in the evaluatee process, opportunities to exercise a relatively high degree of imagination, ingenuity, and creativity are made possible for all involved in the process.
4. The individual performs better and with greater satisfaction when there is an opportunity for recognition of work well done.
5. An evaluation process which contains the elements of self-appraisal as well as appraisal by others according to agreed-upon objectives contributes to the improved performance of the individual.

The Montgomery County model is based on the belief that the primary purpose of a school-based administrator evaluation system is to help principals and assistant principals improve their effectiveness. It also serves the following purposes:

- It must facilitate the achievement of the goals of the Montgomery County Public Schools and of individual schools.
- It must contribute to good morale by demonstrating just and equitable personnel practices.
- It must be a source of motivation for continuing improvement.
- It must facilitate communication and co-operation among school-based administrators and other members of the profession, students, and the community.
- It should provide feedback which can be used to identify in-service needs of principals and assistant principals; to appraise the effectiveness of recruitment, selection, and placement of school-based administration; and to appraise the effectiveness of human and material supports for principals and assistant principals.

The evaluation system is intended to provide information for use in identifying and counselling principals and assistant principals for promotion or other assignment. Otherwise there is no direct link between evaluation and personnel decisions.

The design and techniques of administrator appraisal closely parallel the teacher evaluation system. School-based administrators are evaluated on the basis of a combination of performance criteria and goal attainment. A completed form (see Exhibit 6) reports principal or assistant principal attainment of the ten criteria of school-based administrator effectiveness. Administrators are rated as Effective, Needs Improvement, or Not Effective on each of the criteria; supporting statements are encouraged for the first rating and required for the latter two categories.

In addition, the evaluatee and evaluator are asked to agree on one or more high priority objectives each year for improvement or for emphasis. These objectives are recorded on the Worksheet for Developing Objectives and translated to the evaluation form prior to the evaluation interview. Objectives may be selected from the criteria or from the listed indicators of the criteria for school-based administrator effectiveness, or the principal or assistant principal may develop comparable ones. School objectives are also "loosely but reasonably linked" to school board objectives. Objectives selected are expected (a) to be realistic in terms of time and resources; (b) consider student, staff, and program needs; and (c) result in positive, observable change. Each objective is accompanied by a plan for attainment and a means of assessing that attainment.

The ten criteria of performance effectiveness are outlined in Exhibit 7. The probable scope of each criterion is explained by the attached list of indicators. The indicators are neither a minimal nor an exhaustive list of school-based administrator competencies. Rather, it is proposed that these indicators serve as guides to data collection to be used selectively by the evaluator who must consider the entire school situation in determining what constitutes attainment of any criterion.

Montgomery County does not utilize any baseline or minimum criteria. For purposes of evaluation, it is encouraged that any additional job-related information which adds another dimension to a principal's or vice-principal's performance be included in the evaluation form and a section is provided for such information and for general duties assigned to the assistant principal.

The evaluator for the principal is the area assistant superintendent and for the assistant principal it is the principal. The evaluatee is also strongly encouraged to gather data to be used in self-appraisal and, in areas of perceived weakness, to secure assistance from peers and area and central office associates as well as from the evaluator. Area assistant superintendents visit schools regularly to talk with staff and students and in other ways observe the operation of the school and the implementation of its program. It is recommended that a conference be held if data gathered or discussed during a visit are to be used for purposes of evaluation. All data must be initialled by the evaluator and evaluatee and is kept in the assistant principal's/principal's school file.

There are no specific requirements or recommendations for conduct of the appraisal interview. Informal observations and conferences are held on an informal basis, although the evaluator and evaluatee must hold a minimum of two conferences each year. During the first mandatory conference, at the beginning of the year, the 10 criteria are reviewed and objectives are established and recorded on the worksheet. At this conference, the principal and assistant principal also agree upon the major tasks assigned to the assistant principal for the upcoming academic year. During the second required conference, at the end of the year, they will assess the attainment of objectives and of the ten criteria. If it is an evaluation year, the evaluation form (as well as the worksheet) will be completed.

Administrators are evaluated once a year for the first two years of employment and thereafter once every three years. There is no formal training available in evaluation, although spring and summer courses in observation and evaluation are offered by County sources on a strictly voluntary basis. In addition, a booklet entitled The System of Evaluation of School-based Administrator Services is available which outlines the evaluation model.

The principal may, within ten working days, appeal a recommendation recorded on the evaluation form to the associate superintendent for administration, sending a copy of the appeal to his or her area assistant superintendent. The assistant principal may likewise appeal a recommendation to the area assistant superintendent within ten working days, sending a copy to the principal. A decision on the appeal will be made within fifteen working days of its receipt. Such appeals are extremely rare.

In similar fashion to teacher evaluation, the principal must gather data from staff, assistant principals, and a random sample of students, and the assistant principal from all teachers and a random sample of students by the end of the first semester of each year. Exhibit 8 provides an example of a student questionnaire. School-based administrators are also encouraged to solicit opinion from parents. Such data is used primarily to assist the evaluatees in self-appraisal. It is therefore confidential information, although such data may be shared with the evaluator since the evaluation process encourages the evaluatee to provide evidence of his or her own effectiveness. If the use of a particular questionnaire is agreed upon as a means of assessing the attainment of objectives or high standards, the principal or assistant principal will share the tallied results with the evaluator and confer with him or her about them.

The administrator evaluation system appears to be effective for reasons similar to those referred to earlier (appraisal effectiveness-teacher evaluation). Particularly for success indicators related to pupil test scores or parent and community response, the contributions of appraisal systems at different levels of the hierarchy cannot realistically be distinguished. It is the combined or synergistic efforts of educational staff at all hierarchical levels which serve to improve quality of education as measured by these indicators.

Exhibit 1

Department of Personnel Services MONTGOMERY COUNTY PUBLIC SCHOOLS Rockville, Maryland	EVALUATION OF TEACHER SERVICES INSTRUMENT

Pages 2 and 3 of this instrument provide the framework for the evaluation of teacher services. For detailed information, see the booklet *The Teacher Evaluation System* available from the Department of Personnel Services, revised September, 1980. The instrument is completed according to the instructions below.

INSTRUCTIONS

A. PROFESSIONAL IMPROVEMENT OBJECTIVES JOINTLY DEVELOPED BY THE TEACHER AND THE EVALUATOR FOR THE CURRENT YEAR

1. Objectives. Each year the teacher and evaluator jointly develop one or more professional improvement objectives using MCPS Form 425-12 *Work Sheet For Developing Objectives of the Teacher.* The objectives for the school year in which the teacher's performance is to be evaluated are recorded on this form. These objectives are derived from an analysis of the teacher's performance and should be relevant to at least one of the performance criteria.
2. Evidence of Attainment. Enter a summary statement describing the meeting of the objectives set forth in Item A-1 above.

B. PERFORMANCE CRITERIA EVALUATION

Teacher performance is evaluated in relation to the ten criteria listed on pages 2 and 3.

Based upon the evidence collected, the evaluator indicates the teacher's effectiveness in meeting each criterion as follows:

Effective	The criterion is attained and the quality ranges from acceptable through exceptional. Note exceptional performance as such; give specific facts which identify exceptional results achieved with students or impact upon the school program.
†Needs Improvement	The criterion is attained, but the quality is not consistently acceptable.
†Not Effective	The criterion is not attained.

† Must be accompanied by a supporting statement identifying recommended improvements. The criterion must become an objective of the teacher for the following year, with the completed work sheet (MCPS Form 425-12) entered into the teacher's permanent personnel records and the teacher's school file.

C. ADDITIONAL INFORMATION

List teacher's assignments including subjects and/or grade level taught for the period since the last evaluation and any other information which adds another dimension to the teacher's performance.

D. OVERALL EVALUATION

After a careful analysis of the information reported in A, B, and C, record a summary statement of the teacher's performance and, as appropriate, suggestions for further training.

E. RECOMMENDATIONS REGARDING EMPLOYMENT STATUS

○ Tenured teachers having a certificate rated first class:
  ○ Three or fewer "Not Effective" ratings – Continued Employment
  ○ Four or more "Not Effective" ratings – *Second Class Certificate or *Dismissal

○ Tenured teachers having a Second Class Certificate for the first year:
  ○ Two or fewer "Not Effective" ratings – Continued Employment
  ○ Three or more "Not Effective" ratings – *Second Class Certificate or *Dismissal

○ Tenured teachers having a Second Class Certificate for the second consecutive year:
  ○ Two or fewer "Not Effective" ratings – Continued Employment
  ○ Three or more "Not Effective" ratings – *Dismissal

○ Probationary teachers on the first semester evaluation:
  ○ Two or fewer "Not Effective" ratings – Continued Employment
  ○ Three or more "Not Effective" ratings – Continued Employment or *Dismissal

○ Probationary teachers on the year-end evaluation:
  ○ Two or fewer "Not Effective" ratings – Continued Employment
  ○ Three or more "Not Effective" ratings – *Nonrenewal of Contract or *Second Class Certificate

*Principals or evaluators should consult with the director of personnel services before recommending dismissal or that a certificate be rated second class.

MCPS Form 425-1A, Revised September 1980

Exhibit 1 (cont'd)

NAME LAST		FIRST	DATE	TYPE OF EVALUATION
POSITION LOCATION				
SOCIAL SECURITY NUMBER		GRADE	STEP LONG.	
CERT. TYPE	CERT. CLASS	ISSUE DATE	EXPIRATION DATE	

A. PROFESSIONAL IMPROVEMENT OBJECTIVES JOINTLY DEVELOPED BY THE TEACHER AND THE EVALUATOR FOR THE CURRENT YEAR

1. Objectives

2. Evidence of Attainment

B. PERFORMANCE CRITERIA EVALUATION

Performance Criteria	EFFECTIVE	NEEDS IMPROVEMENT	NOT EFFECTIVE	Supporting Statement
1. Appraises student learning levels, interests, and needs	☐	☐	☐	
2. Establishes learning objectives consistent with appraisal of student needs, requirements of MCPS curriculum framework, and knowledge of human growth and development	☐	☐	☐	
3. Plans and provides for involvement of students in the learning process	☐	☐	☐	
4. Plans for and uses those instructional methods which motivate and enable each student to achieve learning objectives	☐	☐	☐	
5. Plans for and utilizes those resources which motivate and enable each student to achieve learning objectives	☐	☐	☐	
6. Plans for and utilizes evaluation techniques which motivate and enable each student to achieve learning objectives	☐	☐	☐	

Exhibit 1 (cont'd)

7.	Establishes and maintains the environment required to motivate and enable each student to achieve learning objectives	☐ ☐ ☐	
8.	Appraises his/her own effectiveness and demonstrates successful application of skills and information acquired to increase effectiveness	☐ ☐ ☐	
9.	Participates in school management and shares responsibility for the total school program	☐ ☐ ☐	
10.	Establishes relationships with colleagues, students, parents, and community which reflect recognition of and respect for every individual	☐ ☐ ☐	

C. ADDITIONAL INFORMATION (Include subjects and/or grade level taught during evaluation period.)

Name of second observer as required for probationary teacher only ______________________

D. OVERALL EVALUATION (including suggestions for further training)

DATES OF OBSERVATIONS AND CONFERENCES

List dates of classroom observations of at least 20 minutes and/or conferences with the teacher on which this evaluation is based and for which notes are filed in the school (and will be held for at least 6 months after this evaluation is received by Personnel Services.)

OBSERVATIONS				CONFERENCES			
____	____	____	____	____	____	____	____
____	____	____	____	____	____	____	____
____	____	____	____	____	____	____	____

E. RECOMMENDATION REGARDING EMPLOYMENT STATUS (Check one)

- ☐ Continued Employment
- ☐ Dismissal
- ☐ Nonrenewal of Contract
- ☐ Second Class Certificate

F. SIGNATURES

Evaluator(s) ______________________ Date __________

______________________ Date __________

* Person Evaluated ______________________ Date __________

* By signing this evaluation, the employee verifies the record of observations and conferences but does not necessarily have to agree with the contents. If he or she wishes, comments may be added.

G. COMMENTS OF PERSON EVALUATED

H. Date Received in Department of Personnel Services:

Exhibit 2

Department of Personnel Services **MONTGOMERY COUNTY PUBLIC SCHOOLS** **Rockville, Maryland**	**NAME** ______________________________
	WORKSHEET FOR DEVELOPING OBJECTIVES

Instruction: Each evaluatee, in cooperation with the evaluator, will develop objectives and identify ways to achieve and evaluate them. Use this form as a work sheet at the time of evaluation.

State objectives	Describe how you will attempt to attain them	Describe anticipated evidence of attainment	Determine how well the objective was attained and why

Initials and Dates			
Original Approval		**Final Review**	
Evaluatee	**Evaluator**	**Evaluatee**	**Evaluator**

MCPS Form 425-12, Revised December 1978

Exhibit 3

PERFORMANCE CRITERIA AND ILLUSTRATIVE INDICATORS OF EFFECTIVE PERFORMANCE

1. Appraises student learning levels, interests, and needs
   Indicators
   a) Uses information in cumulative folders and in other school records
   b) Uses individual and group observations
   c) Consults with parents
   d) Selects and utilizes appropriate diagnostic instruments (MCPS standardized and teacher-made)
   e) Surveys students as a group, and consults with them individually
   f) Consults with previous teachers, team teachers, and/or specialists
   g) Makes referral to EMT based on appropriate assessment of student needs

2. Establishes learning objectives consistent with appraisal of student needs, requirements of MCPS curriculum framework, and knowledge of human growth and development
   Indicators
   a) Follows the *Program of Studies* in appropriate subject areas as it relates to units of instruction, objectives, time allocations, and skills
   b) States instructional objectives in terms of student behaviors
   c) Establishes performance objectives for class and homework assignments in each unit and instructional activity
   d) Establishes performance objectives for affective, cognitive, and psychomotor outcomes
   e) Develops different performance objectives for each group of students based on ability and achievement, experience, vocational goals, and cultural values
   f) Incorporates in daily planning content and skills of previous levels for reinforcement and anticipates content and skills of future grade levels to insure continuity and sequence
   g) Maintains balance among various subject areas and within the subject itself
   h) Collaborates with other teachers in coordinating objectives for the student's total program

3. Plans and provides for involvement of students in the learning process
   Indicators
   a) Helps students understand performance objectives, procedures, activities, and the evaluative process
   b) Encourages students to suggest interest areas, plan classroom activities, and evaluate units of instruction and the course
   c) Works with students to establish and carry out classroom rules and procedures
   d) Expects and encourages students to use all class time on learning tasks
   e) Assists students in organizing their work so that they learn how and when to work independently and how and when to seek help
   f) Provides opportunities for students to demonstrate critical and reflective thinking, resourcefulness, responsibility, and creativity
   g) Organizes the class to encourage student leadership and develop student skill in group decision-making
   h) Solicits and accepts honest feedback from students including "The Mutual and Reciprocal Evaluation"

4. Plans for and uses those instructional methods which motivate and enable each student to achieve learning objectives
   Indicators
   a) Provides for individual differences in rate of learning and interest by varying the difficulty of experiences, by differentiating instruction and assignments, and by allowing students to pursue topics independently
   b) Helps students develop efficient learning skills and work habits
   c) Uses a variety of appropriate teaching techniques, avoiding excessive use of any one technique
   d) Communicates clearly and correctly in speech and writing and encourages and expects students to do the same
   e) Conveys sense of enthusiasm
   f) Demonstrates flexibility by responding to immediate learning needs of students
   g) Demonstrates knowledge of the subject matter and of human growth and development
   h) Reexamines and adjusts teaching strategies when students are experiencing learning difficulties
   i) Makes every effort to devote additional time necessary to meet student needs even though it may require more time than the normal work day

5. Plans for and utilizes those resources which motivate and enable each student to achieve learning objectives
   Indicators
   a) Utilizes and encourages students to utilize a variety of reference and other printed materials
   b) Utilizes and encourages students to utilize nonprint and audiovisual materials
   c) Utilizes media center resources including securing instruction for students in media center skills
   d) Utilizes human and material resources in community and school
   e) Makes use of the physical school environment to support current learning activities
   f) Consults with area and central office personnel and arranges for their working with students

6. Plans for and utilizes evaluation techniques which motivate and enable each student to achieve learning objectives
   Indicators
   a) Follows MCPS guidelines for evaluation of student work as outlined in policy on *Grading and Reporting*
   b) Uses evaluation methods, materials, and standards for each unit consistent with performance objectives and instructional activities
   c) Uses prompt, frequent, and accurate feedback in class to make learning tasks meaningful
   d) Evaluates clearly and accurately all tests and assignments and returns them promptly
   e) Reviews with students each test and assignment before assessing the same objectives again
   f) Shows students how and gives them opportunities to analyze, evaluate, and revise their own work
   g) Allows students to demonstrate achievement of objectives in a variety of ways
   h) Confers with students not making progress to bring about improvement and informs parents as appropriate
   i) Collaborate with other professional staff members to develop common and fair standards for evaluating students' work

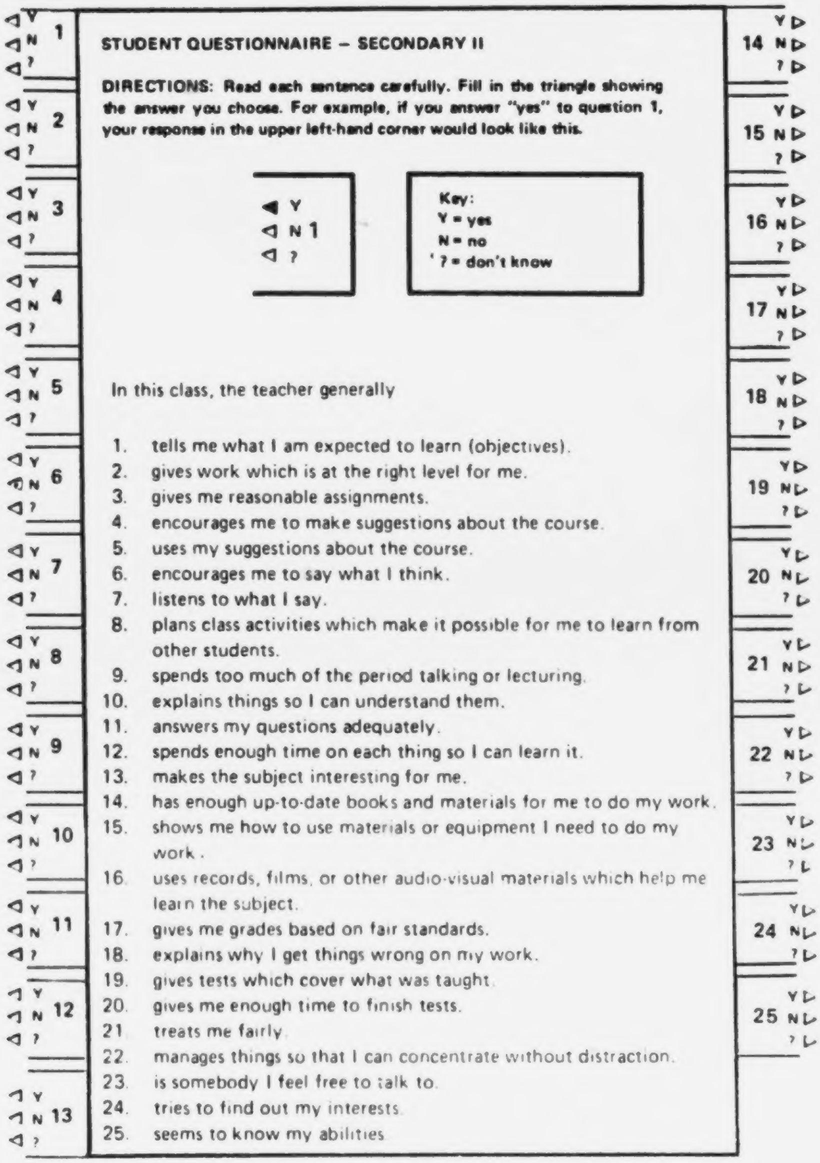
7. Establishes and maintains the environment required to motivate and enable each student to achieve learning objectives
   Indicators
   a) Follows and expects students to use democratic procedures which show consideration for the rights of others
   b) Utilizes appropriate behavior management strategies
   c) Follows school disciplinary procedures and works cooperatively with students, parents, and administrators to implement these procedures
   d) Maintains a classroom atmosphere conducive to good health and safety
   e) Adjusts physical arrangements and modifies noise levels in order to provide for a variety of learning styles
   f) Selects activities appropriate to the physical attributes of the work area
   g) Follows MCPS policy on *Student Rights and Responsibilities*

8. Appraises his/her own effectiveness and demonstrates successful application of skills and information acquired to increase effectiveness
   Indicators
   a) Assesses each lesson and unit in terms of student response to the techniques, activities, and materials and in terms of student attainment of the objectives
   b) Uses results of lesson and unit assessments to continue or modify his/her instructional program and to plan further teaching-learning activities
   c) Evaluates both long-range progress toward goals and short-range achievement of objectives of classroom activities
   d) Works with colleagues, including administrators and supervisors, to evaluate the total program's effectiveness
   e) Uses MCPS resources available to improve instruction
   f) Participates in organizations and conferences supportive of instructional responsibilities
   g) Applies knowledge gained from travel, course work, reading, and other enrichment activities

9. Participates in school management and shares responsibility for the total school program
   Indicators
   a) Participates in the development and review of school policies and regulations
   b) Observes school policies and legal regulations
   c) Encourages habits of good citizenship and good behavior and works with students to reduce vandalism
   d) Enforces Board policies relating to pupils and unauthorized visitors in the building and on school grounds
   e) Cooperates with colleagues and students to maintain good atmosphere
   f) Shares ideas, materials, and methods with other teachers
   g) Encourages special interest activities with community needs
   h) Shares responsibility for care of equipment and facilities

10. Establishes relationships with colleagues, students, parents, and community which reflect recognition of and respect for every individual
    Indicators
    a) Demonstrates sensitivity to individuals who are of another race, cultures, religion, sex, or are handicapped
    b) Utilizes such human relations techniques as acceptance, praise, and humor when warranted
    c) Puts problems in perspective
    d) Responds positively to challenges
    e) Fosters an open atmosphere in which others feel free to express themselves
    f) Listens and responds to the concerns of others
    g) Seeks to make the community feel a part of the school
    h) Communicates effectively with the community about the school and the Montgomery County Public Schools
    i) Uses MCPS resources available to address human relations issues

Exhibit 4



STUDENT QUESTIONNAIRE – SECONDARY II

DIRECTIONS: Read each sentence carefully. Fill in the triangle showing the answer you choose. For example, if you answer "yes" to question 1, your response in the upper left-hand corner would look like this.

◀ Y
◁ N 1
◁ ?

Key:
Y = yes
N = no
? = don't know

In this class, the teacher generally

1. tells me what I am expected to learn (objectives).
2. gives work which is at the right level for me.
3. gives me reasonable assignments.
4. encourages me to make suggestions about the course.
5. uses my suggestions about the course.
6. encourages me to say what I think.
7. listens to what I say.
8. plans class activities which make it possible for me to learn from other students.
9. spends too much of the period talking or lecturing.
10. explains things so I can understand them.
11. answers my questions adequately.
12. spends enough time on each thing so I can learn it.
13. makes the subject interesting for me.
14. has enough up-to-date books and materials for me to do my work.
15. shows me how to use materials or equipment I need to do my work.
16. uses records, films, or other audio-visual materials which help me learn the subject.
17. gives me grades based on fair standards.
18. explains why I get things wrong on my work.
19. gives tests which cover what was taught.
20. gives me enough time to finish tests.
21. treats me fairly.
22. manages things so that I can concentrate without distraction.
23. is somebody I feel free to talk to.
24. tries to find out my interests.
25. seems to know my abilities.

MCPS FORM 360-6 Department of Pupil and Program Appraisal
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Exhibit 4 (cont'd)

DIRECTIONS FOR TEACHERS FOR THE STUDENT QUESTIONNAIRE – SECONDARY II (MCPS FORM 360-6)

Purpose: This questionnaire is designed to help teachers analyze their own competencies. Each student can add to a teacher's understanding of what is happening in the classroom by answering questions about what happens to him or her as a student. The sum of the responses should give the teacher a picture of the actual experiences of students in a class, rather than what the student thinks is happening in the class in general. The results are for teacher use only, unless the teacher chooses to share them with others.

Use of results: Student answers to questions are not judgments about teachers nor are the responses to be taken at face value. They are data which must be interpreted. Steps which help a teacher interpret and use the results are as follows:

1. Before administering the questionnaire, read each question on the tabulation sheet carefully and jot down a desired response to it. For example, the desired response to the fourth question may be at least seventy-five per cent of the students answering "Yes."
2. Administer the questionnaire and tabulate results. Compare actual results with desired results, and identify probable reasons for differences.
3. Get additional information which will help interpret results, and make plans to remedy problem areas. For example, if fewer students than desired answer that the level of difficulty of the work is appropriate (question 2), a number of ways of finding out why can be used.
    - a) Ask students as a group or individually what is too hard or too easy about work done.
    - b) Observe students at work, and make a systematic record over a period of a few days of those having difficulty or those not being challenged.
    - c) Ask students to respond to a questionnaire which would provide information about what types of work are repetitious or difficult; amount of time spent on homework; and other factors which might explain why students may not find the work appropriate.
    - d) Make a record of types of mistakes made by students on written or oral work to see whether areas of real difficulty have gone unnoticed or whether areas of strength have been unduly emphasized.
    - e) Confer with colleagues who teach the same subject or the same students. Ask them to identify the expectations they have set for these students and share with you examples of student work.
4. Use the information gathered to make plans for the students. After changes in teaching practices are made, administer the questionnaire again and compare the results with previous results. Set new desired response levels, and work toward then.
5. Encourage department, grade level, or faculty to compile a profile of results by pooling tabulation sheets. (Urge those concerned to take careful precautions to insure the complete anonymity of each teacher.) Such profiles help teachers examine their own expectations and make it possible for faculties to explore solutions to common concerns.

Directions for administering questionnaire: Before distributing the questionnaire, read aloud to students the directions given below. When you distribute the questionnaire, ask students not to begin until any questions from them have been answered. If a student asks about the meaning of a particular question, say what you think it means, because it is you who will be interpreting the results.

Have students collect the questionnaires for you in order to preserve students' anonymity.

Read these directions to students:

1. Do not put your name on the questionnaire.
2. Read the directions before beginning.
3. Answer each question from your own experience.
4. There are three possible ways to answer: "Yes," "No," or "Don't Know." You may find it difficult to answer some questions because you would like to say "Sometimes." For example, question 7 is "In this class, the teacher generally listens to what I say." If you think I do this only sometimes, decide whether that is often enough. If you think it is, answer "Yes." If you think it is not, mark "No."
5. The purpose of the questionnaire is to help me understand better what is happening to each of you in this class. When I add up the results, they will give me ideas about what is being done successfully and what needs to be changed. I am the only person who will see the answers on your questionnaire unless I wish to share them with others.
6. Please don't write comments on the questionnaire. If you do write on it, I'll be able to identify you.

MCPS FORM 360-7, Department of Pupil and Program Appraisal
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Exhibit 4 (cont'd)

TABULATION OF RESULTS OF STUDENT QUESTIONNAIRE (Secondary II)

Performance Criteria for Teachers	Period ________ Number of students________ IN THIS CLASS, THE TEACHER GENERALLY	Yes	No	Don't Know
1. Acquires information from a variety of sources in order to appraise student learning levels, interests, and needs.	24. tries to find out my interests.			
	25. seems to know my abilities.			
2. Establishes learning objectives consistent with appraisal of student needs, requirements of MCPS curriculum framework, and knowledge of human growth and development	1. tells me what I am expected to learn (objectives).			
	2. gives work which is at the right level for me.			
	3. gives me reasonable assignments.			
3. Plans and provides for involvement of all students in the learning process	4. encourages me to make suggestions about the course.			
	5. uses my suggestions about the course.			
	6. encourages me to say what I think.			
	7. listens to what I say.			
	8. plans class activities which make it possible for me to learn from other students.			
4. Plans for and uses those instructional methods which motivate and enable each student to achieve learning objectives	9. spends too much of the period talking or lecturing.			
	10. explains things so I can understand them.			
	11. answers my questions adequately.			
	12. spends enough time on each thing so I can learn it.			
	13. makes the subject interesting for me.			
5. Plans for and utilizes those resources which motivate each student to achieve learning objectives	14. has enough up-to-date books and materials for me to do my work.			
	15. shows me how to use materials or equipment I need to do my work.			
	16. uses records, films, or other audiovisual materials which help me learn the subject.			
6. Plans for and utilizes evaluation techniques which motivate and enable each student to achieve learning objectives	17. gives me grades based on fair standards.			
	18. explains why I get things wrong on my work.			
	19. gives tests which cover what was taught.			
	20. gives me enough time to finish tests.			
7. Establishes and maintains the environment required to motivate and enable each student to achieve learning objectives	21. treats me fairly.			
	22. manages things so that I can concentrate without distraction.			
8. Appraises the effectiveness of his teaching practices and instructional program not only in terms of achieving his own objectives but also in terms of the total school's instructional program				
9. Participates in school management and shares responsibility for the total school program				
10. Establishes relationships with colleagues, students, parents, and community which reflect recognition of and respect for every individual	23. is somebody I feel free to talk to.			
11. Identifies areas for growth necessary to maintain or improve effectiveness; acquires appropriate training or information; and demonstrates successful application				

(See other side for directions)

Exhibit 5

Dear Parent:

This questionnaire is meant to help you tell us about your child's school experiences. The information will help us plan the best program for your child. Do not write your name or your child's name on this questionnaire.

We are especially interested in your ideas and opinions and suggest you use this questionnaire to summarize what you already know. If you want to discuss the questions with your child, please wait until after you have completed the questionnaire.

DIRECTIONS: We will tabulate results by fanning out a group of papers and counting shaded points along the edge. Mark the questionnaire by shading in the appropriate arrowhead on the margin. For example, if your answer to Question 1 is "Yes," your response will look like this:

◀ Y
◁ N 1
◁ ?

Key
Y = yes
N = no
? = don't know

---

1. Does the teacher seem to know your child's abilities and interests?
2. Has the teacher ever asked you about your child's talents or problems?
3. Is your child often given work too easy for him or her?
4. Is your child often given work too hard for him or her?
5. Does your child often say he or she finishes school work quickly and hasn't enough to do at school?
6. Does your child have about the right amount of homework?
7. Is your child given a chance to help in the classroom?
8. Does the teacher encourage your child to develop his or her interests?
9. Does your child feel that the teacher listens to him or her?
10. Has your child "given up" on something this year?
11. Has your child developed new interests in school this year?
12. Does your child usually understand how the teacher wants work done?
13. Does your child say that the teacher lectures or talks too much?
14. Have you been asked to help in your child's school this year?
15. Does the teacher see that your child has the materials needed to do the work planned?
16. Did you know what objectives your child was working on for the last marking period?
17. Did you have a fairly accurate idea of how your child was doing before receiving his or her last report card?
18. Can you tell in what areas your child needs help by the comments the teacher puts on his or her papers?
19. Does the behavior of other children in class make it hard for your child to work?
20. Does your child say that the teacher is unfair to some children?
21. Do you know how the teacher expects your child to behave most of the time?
22. Do you feel your child is treated fairly by the teacher?
23. Do you feel at ease when talking to the teacher about your child?
24. Have you met with your child's teacher this year?

Please circle one:

25. These questions were answered by the child's (mother) (father) (other)

Thank you for taking the time to help us.

MCPS Form 360-14
Department of Pupil and Program Appraisal

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◁ Y
◁ N 1
◁ ?

◁ Y
◁ N 2
◁ ?

◁ Y
◁ N 3
◁ ?

◁ Y
◁ N 4
◁ ?

◁ Y
◁ N 5
◁ ?

◁ Y
◁ N 6
◁ ?

◁ Y
◁ N 7
◁ ?

◁ Y
◁ N 8
◁ ?

◁ Y
◁ N 9
◁ ?

◁ Y
◁ N 10
◁ ?

◁ Y
◁ N 11
◁ ?

◁ Y
◁ N12
◁ ?

Y ▷
13 N ▷
? ▷

Y ▷
14 N ▷
? ▷

Y ▷
15 N ▷
? ▷

Y ▷
16 N ▷
? ▷

Y ▷
17 N ▷
? ▷

Y ▷
18 N ▷
? ▷

Y ▷
19 N ▷
? ▷

Y ▷
20 N ▷
? ▷

Y ▷
21 N ▷
? ▷

Y ▷
22 N ▷
? ▷

Y ▷
23 N ▷
? ▷

Y ▷
24 N ▷
? ▷

Exhibit 6

Cover page of evaluation form

Department of Professional Personnel **MONTGOMERY COUNTY PUBLIC SCHOOLS**	**EVALUATION OF** **PRINCIPAL AND ASSISTANT PRINCIPAL SERVICES**

Pages 2 and 3 of this form provide the framework for the evaluation of principal and assistant principal services. The form is completed according to the instructions below. Page 4 gives the criteria for school-based administrator effectiveness and indicators.

INSTRUCTIONS

A. PERFORMANCE CRITERIA EVALUATION

Principal or assistant principal performance is evaluated in relation to the ten (10) criteria listed. Indicators for each performance criterion are provided as guides for data collection by observers and by the administrator. Additional indicators may be used.

Based on the evidence collected, the evaluator indicates the principal's or assistant principal's effectiveness in meeting each criterion as follows:

Effective-- The criterion is attained and the quality ranges from acceptable through exceptional.*

Needs Improvement-- The criterion is attained, but the quality is not consistently acceptable.*

Not Effective-- The criterion is not attained.*

***Guides for developing Supporting Statements:**

1. **A supporting statement is required whenever "Needs Improvement" or "Not Effective" are checked. It should identify the recommended improvements. The criterion must also become an objective for the administrator for the following year, with the completed worksheet (MCPS Form 425-12 entered into the administrator's permanent personnel records.**

2. **A supporting statement is recommended to note exceptional performance when "Effective" has been checked. In noting exceptional performance, give specific facts which identify exceptional results achieved with students, faculty, or impact on the school program. A supporting statement may also be included for any other "Effective" evaluation whenever the additional information is helpful in interpreting the evaluation.**

3. **In addition to including supporting statements as directed under items 1 and 2 above when evaluating assistant principals, principals should also include a supporting statement for each criterion to indicate the extent to which the tasks included under each criterion have been assigned to the assistant principal evaluated. The statement should note whether the assistant principal has had a major, limited or no assignment in relation to the criterion. A major assignment means that the assistant principal was primarily responsible for the major tasks included under the criterion. A limited assignment means that the assistant principal had primary responsibility for some of the tasks and a partial or shared responsibility for others. No assignment means that the assistant principal was not ordinarily given the tasks included under the criterion.**

B. ADDITIONAL JOB RELATED INFORMATION

Job related information which adds another dimension to a principal's or assistant principal's performance should be included. The evaluator lists the school and community factors which help to put the school-based administrator's performance on the ten criteria into perspective. For assistant principals, the general duties assigned may be listed here.

C. HIGH PRIORITY OBJECTIVES

One or more objectives, jointly developed by the evaluatee and the evaluator, should be identified. They will be recorded on the Worksheet for Developing Objectives for the School-Based Administrator, MCPS Form 425-12 and the completed Worksheet will be used as data for the next evaluation.

D. OVERALL EVALUATION

After a careful analysis of the information reported in A, B, and C, the evaluator develops and records a summary statement, including suggestions for further training.

E. RECOMMENDATIONS

The evaluator determines the recommendations to be made, using the following standards:

1. **If the principal's or assistant principal's performance is deemed "Not Effective" on three or more of the criteria, the recommendation must be for reassignment.**

2. **If the principal's or assistant principal's performance is deemed "Not Effective" on one of the criteria for the second consecutive year, the recommendation must be for reassignment.**

MCPS Form 430-69, Revised May 1974

Second page of the evaluation form Exhibit 6 (cont'd)

Department of Professional Personnel
MONTGOMERY COUNTY PUBLIC SCHOOLS
Rockville, Maryland

EVALUATION OF PRINCIPAL AND ASSISTANT PRINCIPAL SERVICES

Name (Last, First) Date

Position Location

Position Title | Social Security Number

Grade | Step | Cert. | Issue Date | Expiration Date

☐ 1st Year of Current Assignment

☐ 2nd Year or ☐ Every 3rd Year in Same Assignment

Evaluation Requested by______________________

A. Performance Criteria Evaluation

	Effective	Needs Improvement	Not Effective	Supporting Statement
I. Demonstrates a knowledge of the needs, interests, and feelings of students.	☐	☐	☐	
II. Directs the establishment and maintenance of a school philosophy and an educational program consistent with school community characteristics and MCPS goals and policies.	☐	☐	☐	
III. Selects, orients, assigns, supervises, and evaluates staff in order to attain the objectives of the educational program.	☐	☐	☐	
IV. Utilizes human and material resources available to staff in order to attain the objectives of the educational program.	☐	☐	☐	
V. Plans and provides for an environment which supports the educational program and maintains the mental and physical health and safety of students and staff.	☐	☐	☐	
VI. Uses administrative and management practices which promote the efficient and effective operation of the school.	☐	☐	☐	
VII. Assures the proper evaluation of student progress and of the effectiveness of the program to determine what practices or objectives to maintain or modify.	☐	☐	☐	

MCPS Form 430-69, (Page 1 of 2) Revised May 1974 (See reverse for instructions)

Exhibit 6 (cont'd)

Department of Professional Personnel **MONTGOMERY COUNTY PUBLIC SCHOOLS** **Rockville, Maryland**	**EVALUATION OF PRINCIPAL AND ASSISTANT PRINCIPAL SERVICES** **(Continuation)**

Name (Last, First)

A. Performance Criteria Evaluation (Continued)

	Effective	Needs Improvement	Not Effective	**Supporting Statement**
VIII. Strives to establish and maintain a school community which practices the principles of democracy, reflecting recognition of and respect for each individual.	☐	☐	☐	
IX. Shares responsibility for the area and total MCPS program.	☐	☐	☐	
X. Identifies areas for personal professional growth, acquires appropriate skills and information, and applies them.	☐	☐	☐	

B. Additional Job-Related Information

C. High priority objectives for following year (to be developed in detail on Worksheet)

D. Overall Evaluation (including suggestions for further training)

E. 1. Recommendation for Continuing Assignment or Reassignment (Specify)

2. Special Salary Consideration (Defer or accelerate increment)

*SIGNATURES

Person Evaluated ____________ Date ____

Evaluator ____________ Date ____

Conference requested with evaluator's immediate superior: Yes ☐ No ☐

*Signatures indicate completion of the evaluation process. If the person being evaluated does not agree with the contents of the evaluation, he may request a conference with the immediate superior of the evaluator.

Reviewer's Comments and Recommendation (s)

Reviewed by: ____________ Date: ____

MCPS Form 430-69a (Page 2 of 2) Revised May 1974

Exhibit 7

Performance Criteria

1. Demonstrates a knowledge of the needs, interests, and feelings of students.
   Indicators:
   a) Utilizes data from a student cumulative records and other parent-teacher sources.
   b) Guides teachers in observing students individually and in groups in both formal and informal situations and utilizes resultant data.
   c) Establishes and maintains regular procedures whereby students are able to communicate concerns and utilizes resultant data.
   d) Utilizes data from private agencies and public agencies such as the health and welfare department.
   e) Uses summaries of student test records.
   f) Utilizes information from feeder schools.
2. Directs the establishment and maintenance of a school philosophy and an educational program consistent with school community characteristics and MCPS goals and policies.
   Indicators:
   a) Interprets MCPS goals and policies and school philosophy as the basis for the educational program.
   b) Implements a balanced program of learning opportunities involving all students in classroom instruction, instructional services, and extra-class activities.
   c) Implements MCPS curriculum as defined by the Program of Studies, adapting it to student needs as required.
   d) Stimulates development of new programs in areas where changing conditions or new professional insights encourage new approaches.
   e) Follows the procedures for developing and/or implementing new programs as outlined in the Policy on Innovative Practices.
   f) States annual and long-range program objectives in terms of observable outcomes.
   g) Allocates available budgeted funds to support the attainment of curriculum objectives.
   h) Clarifies rights and responsibilities of staff, students, and parents in planning curriculum.
3. Selects, orients, assigns, supervises, and evaluates staff in order to attain the objectives of the educational program.
   Indicators:
   a) Selects and assigns staff in such a way as to capitalize on individual strengths.
   b) Provides for the orientation of all new staff.
   c) Defines clearly responsibilities of each individual and delegates specific tasks.
   d) Supervises staff to maintain and increase their effectiveness on performance criteria established for their positions.
   e) Identifies training needs of staff for the purpose of increasing effectiveness and counsels staff to select appropriate training.
   f) Identifies staff for extra-class program and supervises operation of stipends programs.
   g) Establishes procedures which insure adequate instruction in teacher's absence.
   h) Demonstrates concern for the maximum development of each individual by seeking to develop latent talents and encouraging upward movement when indicated.
   i) Stimulates staff cooperation for maximum utilization of each individual's skills.
   j) Implements resource teacher program in the secondary schools.
   k) Evaluates staff according to Board adopted policies.
4. Utilizes human and material resources available to staff in order to attain the objectives of the educational program.
   Indicators:
   a) Utilizes and assists staff in using area and central office services.
   b) Assists staff in utilizing community resources.
   c) Assists staff in utilizing student aides and adult volunteers.
   d) Plans for and obtains classroom supplies, materials, and equipment.
   e) Seeks sources of funds or other supports for special projects.
5. Plans and provides for an environment which supports the educational program and maintains the mental and physical health and safety of students and staff.
   Indicators:
   a) Plans and provides for physical safety in the buildings and on the grounds and county-provided transportation.
   b) Plans and provides for an esthetically satisfying environment.
   c) Encourages best possible use of building and grounds to achieve program objectives and meet community needs.
   d) Insures proper care and maintenance of plant, materials, and equipment.
   e) Establishes and maintains procedures which encourage student behavior consistent with school goals.
   f) Deals promptly with behavior which is inimical to the health or physical safety of others.
6. Uses administrative and management practices which promote the efficient and effective operation of the school.
   Indicators:
   a) Observes and implements the MCPS policies and procedures and other legal requirements.
   b) Maintains a current written set of local school policies and procedures for staff and student guidance.
   c) Communicates other necessary information to staff, students, and parents through bulletins and handbooks.
   d) Institutes and maintains procedures for equitable distribution, proper control, and adequate accounting of all funds.
   e) Reviews operational cost factors including vandalism, utilities, repairs, maintenance, and building rennovations.
   f) Makes decisions based on best available information.
   g) Plans and supports student attendance procedures.
   h) Utilizes effectively the administrative and management support services provided by the MCPS.
   i) Coordinates the scheduling of assemblies, athletic events, and special programs.
   j) Develops and utilizes simplified procedures for handling routine administrative tasks.
   k) Follows through on commitments affecting staff, students, and parents.
   l) Meets deadlines for regular reports such as attendance, inventory, financial statements, and personnel evaluations.
7. Assures the proper evaluation of student progress and of the effectiveness of the program to determine what practices or objectives to maintain or modify.
   Indicators:
   a) Organizes and directs periodic evaluation of specific educational programs or of the entire school as defined by the MCPS Evaluative Criteria.
   b) Plans implements methods of evaluation of new programs as they are introduced.
   c) Assigns responsibilities to staff, students, and citizens in evaluation efforts.
   d) Uses available data from county-wide and school-based testing as a form of continual program evaluation.
   e) Consults with school(s) into which students move.
   f) Utilizes data from attendance records, inventory, personnel evaluations, and other reports.
   g) Implements the MCPS policy on Evaluating and Reporting Student Progress.
   h) Involves staff in the preparation of the annual school progress report.

8. Strives to establish and maintain a school community which practices the principles of democracy, reflecting recognition of and respect for each individual.
   Indicators:
   a) Involves the school community (staff, students, and citizens) in the process of establishing school philosophy and goals.
   b) Fosters the cooperation of teachers, students, and citizens in accomplishing the goals of the educational program.
   c) Creates an atmosphere in which others feel free to express themselves.
   d) Establishes channels for regular communication within the school and between the school and public.
   e) Provides opportunity for parents to gain first-hand knowledge of the school.
   f) Uses trustees, PTSA, advisory boards, or similar groups as resources in planning and in solving problems.
   g) Establishes and uses procedures which provide for a balance in communication between the school and members of the school community, between those who express themselves freely and those who less frequently speak out.
   h) Assigns volunteer citizens, staff, and pupils to specific tasks.
   i) Responds positively to challenges, utilizing the varied knowledge and skill of members of school community.
9. Shares responsibility for the area and total MCPS program.
   Indicators:
   a) Interprets MCPS policies and explains system needs to school community.
   b) Assists the school community to understand the MCPS program and support the budgetary needs for its implementation.
   c) Observes student teachers for purposes of making recommendations about their employment potential.
   d) Serves on committees and task forces, as requested and as time permits.
   e) Plans and leads workshops, as requested and as time permits.
   f) Shares ideas and experiences of use to others.
   g) Accepts opportunities to pilot programs or participate in research studies, as feasible.
   h) Works with staff, students and citizens to develop policy recommendations of value to the school system.
   i) Accepts assignments from state or national professional organizations, as feasible.
10. Identifies areas for personal professional growth, acquires appropriate skills and information, and applies them.
    Indicators:
    a) Uses knowledge and skills gained from conferences, courses, and published material.
    b) Reaches into areas of knowledge other than education for creative solutions to problems.
    c) Demonstrates awareness of current events and cultural trends.
    d) Seeks MCPS or area services available to help increase personal effectiveness.
    e) Takes advantage of opportunities to learn from colleagues, students, parents, and community.
    f) Appraises own effectiveness, using data from a variety of sources.

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Exhibit 8

STUDENT QUESTIONNAIRE-PRINCIPAL (ELEMENTARY)

DIRECTIONS: Read each sentence carefully. Fill in the triangle showing the answer you choose. For example, if you answer "yes" to question 1, your response in the upper left-hand corner would look like this.

◀ Y
◁ N 1
◁ ?

Key:
Y = yes
N = no
? = don't know

1. My principal knows who I am.
2. My principal would see me if I wanted to talk to him/her.
3. My principal makes it possible for me to make suggestions about the school and its programs.
4. My school is an interesting place to be.
5. My principal has been in my class at least two times this year.
6. My principal has reasonable rules and regulations.
7. My principal tries to make students behave in the school.
8. My principal makes announcements which I can understand.
9. My principal makes me feel good about the school when he/she speaks to students.
10. My principal sometimes asks me what I like about school.
11. My principal would listen to my side of a problem.
12. My principal is generally fair in dealing with me.
13. My principal is someone I often see around the school.
14. My principal speaks to me or is generally friendly when he/she sees me.
15. My principal is someone I have talked with.

◁ Y ◁ N ◁ ? 1
◁ Y ◁ N ◁ ? 2
◁ Y ◁ N ◁ ? 3
◁ Y ◁ N ◁ ? 4
◁ Y ◁ N ◁ ? 5
◁ Y ◁ N ◁ ? 6
◁ Y ◁ N ◁ ? 7
◁ Y ◁ N ◁ ? 8
◁ Y ◁ N ◁ ? 9
◁ Y ◁ N ◁ ? 10
◁ Y ◁ N ◁ ? 11
12 Y ▷ N ▷ ? ▷
13 Y ▷ N ▷ ? ▷
14 Y ▷ N ▷ ? ▷
15 Y ▷ N ▷ ? ▷

Department of Pupil and Program Appraisal
Field Services Division March, 1976 MARE Form - 1

APPENDIX VI

Orange County, Florida

A. Teacher Evaluation

The teacher appraisal program in Orange County was designed with strong teacher representation. Assessment procedures were established contractually between the School Board of Orange County, Florida, and the Orange County Classroom Teachers Association in accordance with the recommendations of a committee composed of fifteen teachers, appointed by the OCCTA, and ten members representing the management team of the school system. The impetus for the establishment of this committee resulted from recommendations of a Teacher Assessment Committee (1977) which retained the services of Dr. George B. Redfern, Educational Management Consultant, Arlington, Virginia, to facilitate the work of the committee. The assessment procedures developed by the Committee have been revised to incorporate the language contained in the contract and are outlined in the 1982-83 Handbook of Assessment Procedures for Teaching personnel of the Orange County Public Schools.

It should also be noted that Orange County has just completed development of the Orange County Beginning Teacher Program (1982-1983), in accordance with new legislation requiring all new teachers (effective July 1, 1983) to demonstrate specific competencies for one year and be given full staff development services prior to certification. Of interest here are the 24 essential teacher competencies upon which the beginning teacher is to be assessed (see Exhibit 9). Not all competencies have been statistically validated, nor do they include indicators of specific performance which would evidence sufficiency for each competency. Nevertheless, they are indicative of the minimal competencies considered necessary for teacher effectives.

The overall stated purpose of the Orange County teacher assessment system is to improve the quality of instruction in compliance with the mandates of State Regulations regarding the assessment of the performance of instructional personnel. Specific purposes are:

1. To identify individual needs with regard to goals and objectives and develop ways to meet them;
2. To promote self-awareness and encourage positive self-image;
3. To develop in-service programs based on a needs assessment of and by the evaluators and evaluatees;
4. To provide additional information for recommending persons for annual and continuing contract; and
5. To document evaluations.

There appears to be little emphasis placed on the use of evaluation documents for personnel decisions, although a receiving principal often reviews a teacher's evaluation file before accepting a transfer. Any potential employer or county administrator has the right to review a teacher's file; the teacher's union only has access to evaluation files with the teacher's written permission.

State guidelines on remediation or dismissal also emphasize that teacher evaluation programs should be separate from personnel decisions relating to dismissal. The Professional Practices Council, an arm of the State Board of Education and a part of the Florida Department of Education, sets and enforces ethical and professional standards for Florida's public school educators. As the professional regulating agency for Florida's education profession, the Council has hearing and subpoena powers, prosecutes all revocations of teaching certificates, and proposes recommendations to the State Board. With regard to dismissal, their guidelines state:

> ...the point should be stressed that a program for assessment of educational personnel should be separate and distinct from a program for identifying those who are to be dismissed or not re-employed. The assessment program can lose its very considerable force if its prime use is to construct cases against suspected incompetents, thus generating fear and suspicion which could be detrimental to the personal security of an individual and a healthy attitude toward self-appraisal as well as cooperative appraisal.[21]

Prior to taking dismissal action against a suspected incompetent, the administrator is expected to adhere to the PPC's NEAT procedures; that is:

1. NOTIFY individual that deficiencies exist which will lead to dismissal if not corrected.
2. EXPLAIN deficiencies and improvement required.
3. ASSIST to improve deficiencies and improvement required.
4. TIME limit is set for demonstrating required improvement.

If, after implementation of the NEAT procedure, it is determined that dismissal proceedings should be effected, the Council takes jurisdiction of the matter.

Although goal-setting is an integral part of the administrator evaluation program, goals-based appraisal is not a formal part of the teacher evaluation program, nor is it likely to be in the future. Instead, teacher appraisal incorporates a process-oriented approach, emphasizing job responsibilities and expected competencies. There is no job description for teachers; one field site interviewee suggested that the development of a comprehensive job description would create difficulties or disagreement with regard to the specific tasks and responsibilities to be included in or excluded from such a description.

Assessment of teacher performance requires completion of an Observation Report and an Assessment Report (see Exhibit 10 and 11). The completion of the Assessment Report must be preceded by at least one classroom observation and completion of the Observation Report. However, if a continuing contract teacher's performance is deemed satisfactory by the principal, the teacher and the principal may mutually agree to waive the necessity of a classroom observation.

---

[21] Improving Professional Performance: Guidelines for Remediation or Dismissal. Tallahassee, Florida: Professional Practices Council, Department of Education, 1975.

Major areas of responsibility are rated, as indicated on the Assessment Report, as Satisfactory, Needs Improvement, or Not Applicable. It is the responsibility of each evaluator to review the criteria which serve as a guide for assessment purposes. If any criteria are rated NI ("Needs Improvement"), then it is the responsibility of the principal to develop an improvement plan with the teacher in which areas of weakness are identified and specific recommendations for improvement are suggested.

The criteria for assessment are statements of expected job competencies as well as responsibilities. The ten categories are as follows:

Instructional Competencies

1. Classroom environment
2. Planning and organizing
3. Methods and techniques
4. Subject matter knowledge

Professional Competencies and Responsibilities

5. Staff relations
6. Student relations
7. Parent relations
8. Professional responsibilities and ethics
9. Professional growth
10. Personal characteristics

The specific statements relating to each competency are included in Exhibit 12.

The assessment of a teacher's performance is the responsibility of the principal or his or her designee, or the teacher's immediate supervisor. The contract between the Orange County School Board and the Classroom Teachers Association further stipulates that teachers shall not be required or permitted to participate in the assessment, evaluation, supervision, or discipline of other teachers.

In terms of data gathering, the evaluator may make formal observations through unscheduled or drop-in visits, or the evaluator may establish a scheduled time for formal observations. A specific formal observation may be requested by the evaluatee and/or scheduled by the evaluator to review progress regarding an area identified previously as in need of improvement. The evaluator is not limited, however, to classroom observation for purposes of assessment. The union contract indicates than the Observation Report information, data from other formal and informal observations, and data from other appropriate sources may be used by the evaluator to assess evaluatee performance. Data sources other than classroom observation are not specifically identified. Field site interviews suggested that such alternative data are gathered impressionistically from auditorium meetings, extra drop-ins, non-classroom activities, relationships with other teachers and parents.

The form and content of appraisal interviews are free to vary from one evaluator to another. Each teacher is provided a copy of his or her Observation Report and Assessment Report, and a conference is held between the teacher and evaluator within ten working days of the observation or assessment.

Each annual contract teacher is observed at least twice yearly and evaluated once yearly. Continuing contract teachers must be evaluated once a year but, as indicated earlier, the teacher and principal may mutually waive the observation if the principal deems the teacher's performance to be satisfactory.

There is no training available to evaluators or evaluatees in methods or purposes of performance appraisal for certificated educational staff. Four half days of training are provided, however, to principals for the observation and assessment of beginning teachers. The Handbook of Assessment Procedures For Teaching Personnel (1982-83), outlines the rules and conditions of teacher appraisal for Orange County Public Schools.

Both conceptually and in practice, the link between formative and summative evaluation is minimal. That is, the process of making personnel decisions is unrelated to appraisal for purposes of development and the improvement of instruction. Furthermore, there is little indication that the formal process of appraisal is related to or intentionally associated with day-to-day supervision or monitoring, informal feedback, assistance, and support. The Handbook of Assessment Procedures For Teaching Personnel does, however, stipulate that:

> ... specific recommendations [in the Observation Report] should include ways in which the evaluatee can improve. For example, if the evaluator observes poor time management, the recommendation should include more than, "learn to use time more wisely." Specific directives need to be given, such as, "Block out time frames for completion of the lesson", or, "Begin lining the class up earlier for lunch", etc.

In addition, timelines for correcting areas of weakness are expected to be indicated on the report, where applicable.

A management-by-objectives (MBO) system of administrator appraisal has been in effect for eight years in Orange County, Florida. The underlying philosophy of the MBO system emphasizes staff improvement and a consideration of both organizational and individual needs. Orange County policy states that "the primary purpose of the MBO process is to increase the potential for fulfilling the school system's needs through improving the job performance and aiding the personal growth of individual managers and technical employees". The general process is outlined in Figure 1 below.

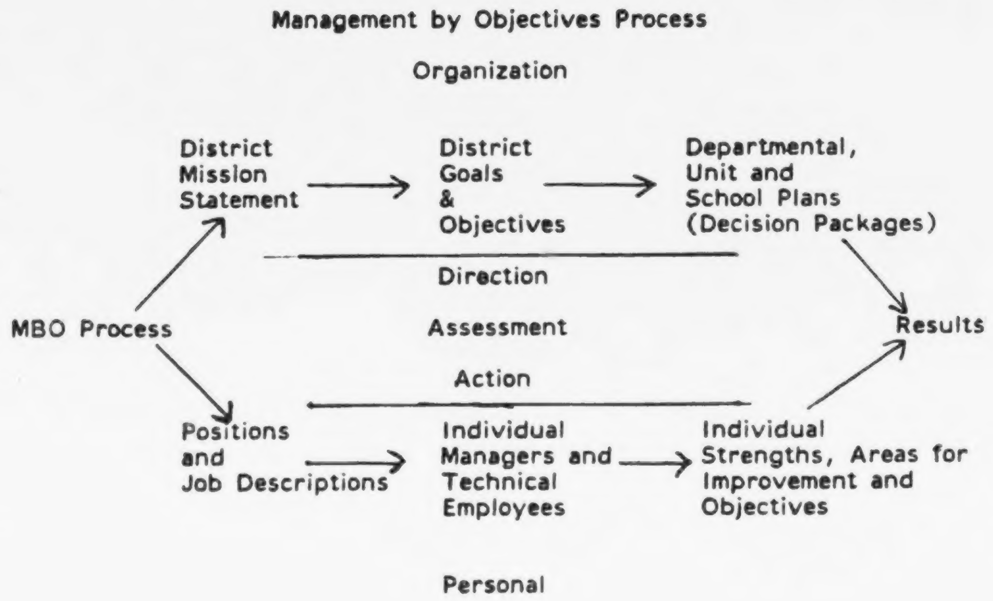
Management by Objectives Process
Organization
District Mission Statement
District Goals & Objectives
Departmental, Unit and School Plans (Decision Packages)
Direction
MBO Process
Assessment
Results
Action
Positions and Job Descriptions
Individual Managers and Technical Employees
Individual Strengths, Areas for Improvement and Objectives
Personal

Figure 1
(Adaptation of the Guba and Getzels Management Model)

At the same time that the philosophical aim of appraisal is to improve the performance of the evaluatee and the school/school system, the process is also expected to relate to personnel decisions and to serve as a guideline for staff training and development. In practice, however, appraisal information is not always used for promotion, transfer, and training decisions. There may be several reasons why the ostensible objectives of evaluation are not translated into practical application. Included among these reasons are a desire to reduce paperwork, insufficient emphasis on, and support for, the use of appraisal for personnel decisions, and a tendency among evaluators to use informal impressions rather than objective assessments for making judgments about subordinates whom they have known for some time. The use of informal knowledge in making transfer and promotion decisions may introduce bias into the process but, more importantly, problems may arise when evaluators are replaced because new incumbents are unfamiliar with their staff and are unable to refer back to previous documentation for guidance in making personnel decisions.

Orange County has instituted what is called a "Career Management Incentive System" (CMIS) for management and technical staff in an effort to integrate classification, appraisal, and compensation. While the link between appraisal and career progression is less in evidence, the integration of appraisal with compensation decisions has been applied in practice. The salary schedule consists of 16 pay grades, each with six levels. Within each pay grade, each level represents an increase of 5% over the previous level. This increase is granted to administrative and technical employees each year up to Level VI if justified by annual assessment of performance. Unless performance is evaluated as "not effective", employees automatically receive the increase. In addition, however, three types of supplemental contracts are available for specified activities (see Figure 2).

STRUCTURAL CONCEPT OF THE CMIS PAY PLAN FOR MANAGEMENT/TECHNICAL PERSONNEL

COMPONENT I: ENTRY LEVEL		COMPONENT II: STANDARD LEVELS OF PERFORMANCE				COMPONENT III: MANAGEMENT/TECHNICAL SERVICE SUPPLEMENTAL CONTRACTS		
1	2	3	4	5	6	A	B	C
Negotiable entry range.		Movement from Levels 1 through 6 depends upon annual assessment and continues on an annual basis unless by exception				Contracts A & B must be approved by the Superintendent and be based upon specific criteria, i.e., time/responsibility and/or extraordinary responsibilities. Contract C must be approved by a District Committee for outstanding service on exemplary projects. Granted on yearly basis		

Figure 2

The Supplemental Contracts are essentially bonus payments which are granted once a year. These are described below:

> Contract A - A minimum $500 supplement for additional management/technical service based upon time criteria, such as serving as a member of a special program development team.
>
> Contract B - A minimum $1,000 supplement for additional management/technical service based on time/responsibility and/or extraordinary job responsibility criteria, such as serving as a member of a bargaining team, opening a new school, assuming the role of acting principal, or extensive travelling required of a job (legislative liaison work).
>
> Contract C - $1,500 supplement for outstanding service based on completion of exemplary projects, i.e., implementation of an energy management system.

Although the award of a supplemental contract is not an indication of general job performance, it does indicate the willingness of a particular employee to accept additional tasks and responsibilities. Applications are filed by the individual and assessed by a review committee chaired by the deputy superintendent. Out of approximately eight to ten applications, only about three or four are approved each year. Contracts are limited to one contract per person per year.

The basic design of Orange County's administrator evaluation system is output-focused. Performance reviews include both an organizational and an individual dimension. Employees are expected to establish one or two primary objectives, in co-operation with the evaluator, which relate to the mission and goals of the district, and to develop plans and activities which contribute to the achievement of established objectives. The superintendent also conducts an annual management conference (approximately 350 principals, assistant principals, and other administrators attend) in which short-term and long-range district objectives are developed and clarified. Principals are encouraged to develop annual goals which are congruent with these broader district objectives. While the superintendent's office tracks district-wide progress on objectives, it is up to the individual principal to determine how he or she will participate and to what extent.

Individual assessment, by contrast, is the basis for identifying both the strengths and areas for improvement in the individual's performance of duties. An administrator is supposed to be assessed not only on the extent to which he or she achieves selected goals but also on a set of performance criteria (elaborated below). In this respect, appraisal is both output-focused (assessment against goal attainment) and process-focused (assessment against performance indicators).

Since individuals are evaluated in terms of both performance and goal attainment, two separate appraisal instruments are completed by the appraiser. The assessment of overall performance includes ratings in nine areas of performance: leadership functions; intra-organization communications; school-community communication; personnel relations and management; general business management; professional competencies and improvement; program planning and evaluation; services to students; and district/departmental/school goals and objectives. These are outlined in Exhibit 13. By and large, these performance indicators provide little guidance on what actually constitutes high or low performance. Statements like "assists staff", "delegates responsibility", or "facilitates change" are too general to provide information to the evaluator on what degree of "assistance", "delegation", or "facilitation" constitutes good or poor performance on these dimensions.

In addition to assessment on the basis of performance standards, the evaluator and evaluatee jointly complete a "Need Identification/MBO Plan" (see Exhibit 14). This is simply a worksheet on which the objective is stated, its degree of difficulty assessed, and level of achievement indicated. Both the evaluator and evaluatee assess the evaluatee's results in terms of whether the objective was achieved, not achieved, or partially achieved. Whenever objectives are "not achieved" it is necessary for the reasons to be indicated in writing so that follow-up action may be taken.

Evaluation is primarily the responsibility of the evaluatee's immediate supervisor. Orange County has developed a formal list which identifies the individuals (i.e., individual positions) involved in the evaluator/evaluatee process. Self-appraisal is strongly encouraged as input to the evaluation process and an approach to appraisal as a joint, interactive procedure is emphasized. No other individuals (e.g., peers, students, subordinates) are involved formally in the appraisal process. Data for input to the evaluation system are gathered informally from conversations with the evaluatee, school visits, knowledge of parental concerns and teacher attitudes,, routine contacts with other staff, and informal observations. Data tend to be impressionistic; there is no systematic process for accumulating information on performance.

An appraisal interview is held in June of every year to review the degree to which current objectives have been achieved and to establish new plans and objectives for the coming year. The evaluatee and evaluator are expected to confer regarding both the overall assessment and the identification of individual and organizational needs. There are no formal guidelines available for conducting the conference, nor do all evaluators maintain written records. Since the completion of documentation is not strictly monitored, latitude exists for conducting highly informal conferences.

Although a "culminating conference" occurs once a year at the end of the school term, additional conferences are strongly encouraged. Orange County's written guide to MBO states that at least one formal midpoint conference (January-February) should be held by the appraiser and appraisee to check up on the progress that is being made and to make any necessary modifications in objectives and action plans.

Results of the annual Overall Assessment of Performance and the MBO instrument can be appealed in writing. Such appeals are very rare. The first level of appeal is the immediate evaluator. If the appeal is denied, the appellant can appeal to each higher management level up and to the Superintendent. All appeals are responded to in writing, normally within five working days. A management or technical employee may also initiate a formal, written appeal for a change in pay grade assignment. The purpose of this procedure is to provide a means by which an individual can seek to have his or her salary grade classification altered to conform to significantly changed responsibilities. In addition, an employee may appeal a negative decision by the review committees established to determine whether or not a supplemental Contract C has been successfully fulfilled. Where such appeals are made, the Deputy Superintendents serve as the appeal authority.

The Orange County evaluation model does not distinguish between evaluation for developmental purposes and evaluation for purposes of making personnel decisions. In theory, the appraisal system is intended to serve as a tool for both individual improvement and for assisting in promotion, transfer, dismissal, and compensation decisions. In practice, the career management incentive system provides a method for rewarding administrative personnel whose job responsibilities, time commitments, or achievements on specific projects exceed those which are set out in the individual's job description. The appraisal system, at present, is used less for input into career movement decisions. This may be due, in part, to the recency of the program and the tendency for evaluators to substitute informal knowledge for more systematic procedures of assessment. Informal assessment is frequently perceived as sufficient by those evaluators who are familiar with the performance of their subordinates; informal assessment also reduces paperwork. By and large, however, the system has been designed to minimize "the paper burden" and the time required to evaluate personnel systematically.

Formal evaluation models often seem inadequately related to day-to-day behaviour and supervision. In some respects, Orange County's management-by-objectives system overcomes this problem by making the attainment of annual objectives dependent upon short-term activities. The management-by-objectives guidelines suggest, for example, that: "Once objectives are agreed to and action plans have been developed, the implementation process begins. Objectives should be very closely related to on-going duties. This will make carrying out action plans relevant to day-by-day activities." In terms of day-to-day supervision and assistance, most administrative personnel who are responsible for evaluating subordinates tend to be at a disadvantage because the number of subordinates is large and direct, constant observation is impractical. These circumstances create the need for effective self-appraisal and a method of supervisor evaluation that permits the subordinate considerable autonomy and responsibility in carrying out activities associated with goal attainment. The difficulty of day-to-day supervision and observation also contributes to the tendency for evaluators to abandon the accumulation of formal data in favour of more informal and impressionistic information on subordinates. To reduce the potential for bias inherent in impressionistic judgements, however, it becomes even more important to set objectives through joint participation of the evaluator and evaluatee and to clarify the specific activities necessary for goal achievement. On-site interviews with several personnel suggested that this does not occur uniformly and consistently across the district, although efforts are being made to increase the objectivity and fairness of the system.

While there appears to be some divergence between the official design of the appraisal system and its application, Orange County's system of administrator evaluation possesses some relatively unique aspects. First, to overcome the lack of incentive which emerges from virtually automatic pay increases, Orange County reserves a bonus pool from which to reward administrators who perform beyond the limits of their job descriptions. Since the number of grievances submitted to the review committees is few, this would suggest that the system is probably fairly effective in recognizing outstanding achievement and extra effort on the part of individuals. Second, the Orange County model is one of the few evaluation systems to explicitly recognize the desirability of co-ordinating the needs of individuals and the needs of the organization (school or school system) as a whole. This is accomplished through the MBO system which attempts to integrate personal and organizational goals in the assessment of results. Third, the evaluation instruments reflect the efforts of appraisal designers to reduce the amount of paperwork involved in the evaluation process. Reduction in paperwork appears to be achieved, however, at the expense of sophistication and specificity in the instruments themselves. The performance rating scales are superficial and do not, by themselves, provide criteria for differentiating between high and low performers on any single dimension.

Orange County is by no means unique in its tendency to rely on highly informal judgements for purposes of assessment. Indeed, such a problem is exacerbated by the broad span of control typical of most evaluators and the tendency for evaluators to feel that formal evaluation procedures are redundant in light of long-term familiarity with many of their subordinates.

Exhibit 9

FLORIDA'S ESSENTIAL TEACHER COMPETENCIES

The Beginning Teacher Program is founded upon the notion that the program should provide beginning teachers with an opportunity to demonstrate the minimum essential competencies specified in Chapter 231.17(2)(a), Florida State Statutes and State Board Rule 6A-5.62(2)(j). Following is a listing of the 24 generic competencies identified as essential for Florida's teachers.

1. Demonstrate the ability to orally communicate information on a given topic in a coherent and logical manner.
2. Demonstrate the ability to write in a logical, usually understood style with appropriate grammar and sentence structure.
3. Demonstrate the ability to comprehend and interpret a message after listening.
4. Demonstrate the ability to read, comprehend and interpret professional material.
5. Demonstrate the ability to comprehend and work with fundamental mathematical concepts.
6. Demonstrate the ability to comprehend patterns of physical, social and academic development in students, and to counsel students concerning their needs in these areas. (Competencies #6 and #19 were combined into one competency by statute.)
7. Diagnose the entry knowledge and/or skill of students for a given set of instructional objectives using diagnostic tests, teacher observations and student records.
8. Identify long-range goals for a given subject area.
9. Construct and sequence related short-range objectives for a given subject area.
10. Select, adopt, and/or develop instructional materials for a given set of instructional objectives and student learning needs.
11. Select/develop in sequence related learning activities appropriate for a given set of instructional objectives and student learning needs.
12. Establish rapport with students in the classroom by using verbal and/or visual motivational devices.
13. Present directions for carrying out an instructional activity.
14. Construct or assemble a classroom test to measure student performance according to criteria based upon objectives.

Exhibit 9 (cont'd)

15. Establish a set of classroom routine and procedures for utilization of materials and physical movement.

16. Formulate a standard for student behavior in the classroom.

17. Identify causes for classroom misbehavior and employ a technique(s) for correcting it.

18. Identify and/or develop a system for keeping records of class and individual student progress.

19. See competency #6.

20. Identify and/or demonstrate behaviors which reflect a feeling for the dignity and worth of other people including those from other ethnic, cultural, linguistic and economic groups.

21. Demonstrate instructional and social skills which assist students in developing a positive self-concept.

22. Demonstrate instructional and social skills which assist students in interracting constructively with their peers.

23. Demonstrate teaching skills which assist students in developing their own values, attitudes and beliefs.

24. Demonstrate the ability to recognize and be aware of the instructional needs of exceptional students.

Exhibit 10

ORANGE COUNTY PUBLIC SCHOOLS

Observation Report Form

COPIES
1st - Evaluatee (White)
2nd - Evaluator (Canary)

Evaluatee: ______________________ School/Office: ______________

Evaluator: ______________________ Date of Observation: __________

Class/Situation Observed: ______________________

Length of Observation: ______________________

DIRECTIONS: Record applicable statements in Part I regarding what you observed. If it appears that some areas need improvement, make your recommendation in Part II. Attach additional sheets if necessary.

PART I. Observation:

PART II. Specific Recommendations:	To be Completed on or Before	Recommendation Carried out

Comments of Evaluatee (if any.) If more space is needed, attach page.

Signatures:
EVALUATOR: ______________________ DATE: ______________

EVALUATEE: ______________________ DATE: ______________

Signature of Evaluatee does not necessarily imply agreement with recommendations or area/s/ in need of improvement, but acknowledges that they have been discussed with Evaluator.

Exhibit 11

ORANGE COUNTY PUBLIC SCHOOLS

ASSESSMENT REPORT

WHITE - Dept. Personnel Services
CANARY - Evaluatee
PINK - Evaluator

S = Satisfactory
NI = Needs Improvement
NA = Not Applicable

Evaluatee: ______________________ School/Office: ______________

Position: ______________________ Certification Held: ______________

School Year: ____________

Copies: Original - Department of Personnel Services; 1st - Evaluatee; 2nd - Evaluator

Date/s/ of Observation/s/ ______________________________

DIRECTIONS: Using the major areas listed below, assess the performance of the Evaluatee. If any area is marked NI, please record your recommendation in the appropriate section below.

Major Areas of Responsibility	S	(Check) NI	NA
1. Classroom Environment			
2. Planning and Organizing			
3. Methods and Techniques			
4. Subject Matter Knowledge			
5. Staff Relations			
6. Student Relations			
7. Parent Relations			
8. Professional Responsibilities and Ethics			
9. Professional Growth			
10. Personal Characteristics			

STRENGTHS/COMMENDATIONS: (If more space is needed, attach page)

SPECIFIC RECOMMENDATIONS: (If more space is needed, attach page)

COMMENTS OF EVALUATEE: (If more space is needed, attach page)

Contract Status: ____A1; ____A2; ____A3; ____Con't. Contract ____Other

Evaluator's Signature: ______________________ Date: ____________

Evaluatee's Signature: ______________________ Date: ____________

(My signature does not necessarily imply agreement with the assessments, but acknowledges that I have discussed them with the evaluator.) ALL ITEMS SHOULD BE CHECKED BEFORE AFFIXING EVALUATOR'S SIGNATURE. (If more space is needed, attach page.)

Exhibit 12

THE RESPONSIBILITY CRITERIA

The Responsibility Criteria are statements of expected job competencies as well as responsibilities. They are to be used as the basis for identifying evaluatee strengths and areas in need of improvement. Also, they are the criteria to be used as the basis for making observations and assessments.

Instructional Competencies

1. Classroom environment
2. Planning and organizing
3. Methods and techniques
4. Subject matter knowledge

Professional Competencies and Responsibilities

5. Staff relations
6. Student relations
7. Parent relations
8. Professional responsibilites and ethics
9. Professional growth
10. Personal characteristics

1. Classroom Environment

101 - Manage time efficiently
102 - Provide for the health and safety of students
103 - Promote effective classroom interaction and mutual respect while working independently or in a group
104 - Aid students in managing time efficiently
105 - Use physical facilities and equipment to the best advantage
106 - Control the class so that a positive learning environment is maintained
107 - Promote positive student behavior patterns
108 - Manage behavior problems on an individual basis
109 - Promote self-expression by students through discussions and activities
110 - Other (specify)

2. Planning and Organizing

201 - Establish long range and immediate objectives and strategies for instructional activities in accordance with the district curriculum and mission statement
202 - Plan appropriate sequence of skills
203 - Organize work plans
204 - Maintain accurate student records

Exhibit 12 (cont'd)

205 - Use a variety of resources including, but not limited to, students, parents, speakers, community agencies, film, television, records, etc.
206 - Collect information about each student (cumulative records, diagnostic test scores, etc.) and maintain the confidentiality of that information
207 - Use evaluative techniques to improve teaching-learning experiences
208 - Plan for individual differences by individualizing instruction as far as possible to the level of each student and his/her learning style
209 - Other (specify)

3. Methods and Techniques

301 - Adapt available resources to individual needs
302 - Use a variety of classroom activities which are challenging to students
303 - Use a variety of instructional materials
304 - Encourage development of individual interests and activities
305 - Use evaluative techniques to improve teaching-learning experiences
306 - Provide opportunities for students to develop leadership qualities
307 - Enable students to share in carrying out classroom activities
308 - Communicate with students individually and/or in groups
309 - Motivate by positive feedback, praise, and reward
310 - Respond to the individual needs, aptitudes, talents, and learning styles of students
311 - Guide students in changing negative attitudes into positive and constructive ones
312 - Provide activities which encourage students to think
313 - Relate student learning activities in school to life outside of school
314 - Provide opportunities for outside participation and utilization of community resources
315 - Other (specify)

4. Subject Matter Knowledge

401 - Demonstrate knowledge of subject matter
402 - Communicate subject matter clearly and effectively
403 - Relate subject matter in school to life outside the school
404 - Be properly certificated in instructional field/s/
405 - Be teaching in field
406 - Update knowledge in field by additional education, inservice or other activity
407 - Other (specify)

Exhibit 12 (cont'd)

5. Staff Relations

501 - Share in the evaluation of the effectiveness of the educational program
502 - Consult with other teacher/s/, team leaders, department heads, consultants, and specialists
503 - Cooperate in planning special programs and activities during school hours
504 - Share, in a constructive manner, with colleagues concerns regarding students
505 - Maintain good rapport with colleagues and staff
506 - Share ideas, materials, and methods with professional colleagues
507 - Other (specify)

6. Student Relations

601 - Create an atmosphere of mutual respect between students and teachers
602 - Show concern for students as persons
603 - Counsel students individually and in groups
604 - Help students to develop positive self-concepts
605 - Help students define realistic goals for themselves
606 - Be sensitive to the "career education" needs of the students
607 - Show concern for students who have personal problems
608 - Encourage students to strive for high achievement commensurate with their abilities
609 - Maintain good rapport with students
610 - Be consistent and fair in dealing with students
611 - Assist students in the evaluation of their own growth and development
612 - Be aware of the community environment of students in order to better meet the individual needs of students
613 - Other (specify)

7. Parent Relations

701 - Encourage parent participation in school activities
702 - Encourage parent visitations and conferences
703 - Interpret and clarify school policy and programs
704 - Use a positive approach in parent relations
705 - Maintain confidentiality with parents
706 - Use a variety of methods to communicate with parents
707 - Other (specify)

Exhibit 12 (cont'd)

8. Professional Responsibilities and Ethics

801 - Participate in the development of school policies and procedures when given the opportunity
802 - Participate in implementation of school policies and procedures
803 - Abide by state statutes, county policies, and teachers' code of ethics
804 - Support school and district programs and activities
805 - Share in the evaluation of the effectiveness of the educational program
806 - Maintain flexibility to meet the needs of the students
807 - Participate in school and district committees
808 - Demonstrate a positive attitude toward the teaching profession
809 - Share in the evaluation and effectiveness of the educational program with the Local School Advisory Committee
810 - Other (specify)

9. Professional Growth

901 - Participate in professional activities
902 - Seek ideas, materials, and methods from professional colleagues
903 - Demonstrate an awareness and utilization of school resources
904 - Remain attuned to current educational techniques
905 - Other (specify)

10. Personal Characteristics

1201 - Meet professional obligations on time
1202 - Respect the rights of others to express divergent opinions
1203 - Remain controlled and effective under pressure
1204 - Operate as a team member as well as a leader
1205 - Demonstrate a positive approach to assigned responsibilities
1206 - Demonstrate independence and maturity in decision-making
1207 - Work independently with minimal supervision
1208 - Other (specify)

ps 4/AA
Rev. 09/13/82

Exhibit 13

APPENDIX A

ASSESSMENT FORM A-1

Assessment Key:

Outstanding - the individual is performing in an outstanding manner with no major needs for improvement.

Excellent with Recommendations - the individual is performing excellently but needs for general improvement are identified.

Highly Effective with Recommendations - the individual is performing in a highly effective manner, but needs for improvement are identified.

Effective with Recommendations - the individual is performing effectively, but needs for specific improvement are identified.

Not Effective - the individual is not performing effectively.

NA - not applicable.

ANNUAL ASSESSMENT OF OVERALL PERFORMANCE

Name ______________________ Department ________________ Position ________________
(Print or type)

1. 100 LEADERSHIP FUNCTIONS	Outstanding	Excellent With Recommendations	Highly Effective With Recommendations	Effective With Recommendations	Not Effective	N/A	Recommendations
101 Coordinates personnel and/or programs							
102 Accepts responsibility and accountability							
103 Facilitates change							

Exhibit 13 (cont'd)

APPENDIX A
(Continued)

		Outstanding	Excellent With Recommendations	Highly Effective With Recommendations	Effective With Recommendations	Not Effective	N/A	Recommendations
104	Delegates responsibility							
105	Demonstrates organizational skills							
106	Assists staff							
107	Stimulates leadership talents in others							
108	Other (specify)							
109	Other (specify)							
200	INTRA ORGANIZATION COMMUNICATIONS							
201	Encourages two-way vertical communications							
202	Encourages two-way horizontal communications							
203	Interprets policies, rules and regulations, and/or programs for staff							
204	Cooperates with associates							
205	Prepares interpretative written material for staff							
206	Other (specify)							
207	Other (specify)							
300	SCHOOL-COMMUNITY COMMUNICATION							
301	Interprets district policies and/or programs for community							
302	Listens to community views and transmits information to appropriate district managers							
303	Responds to inquiries of members of the community							
304	Prepares and issues written materials (e.g., handbooks, newsletters) for community							
305	Assists lay advisory committees							
306	Other (specify)							
307	Other (specify)							

Exhibit 13 (cont'd)

APPENDIX A
(Continued)

		Outstanding	Excellent With Recommendations	Highly Effective With Recommendations	Effective With Recommendations	Not Effective	N/A	Recommendations
400	PERSONNEL RELATIONS AND MANAGEMENT							
401	Capitalizes upon the strengths of staff							
402	Promotes high morale							
403	Provides orientation for staff							
404	Studies and/or revises personnel procedures and/or organization							
405	Assists individual staff members with problems and/or concerns							
406	Follows carefully accepted procedures in selecting new staff members							
407	Encourages self-evaluation							
408	Encourages creativity							
409	Motivates staff							
410	Implements staff evaluation procedures							
411	Plans and implements procedures for effective use of staff							
412	Other (specify)							
500	GENERAL/BUSINESS MANAGEMENT							
501	Interprets and implements decisions of organization superiors							
502	Develops and improves management procedures/systems							
503	Assesses budget needs							
504	Stresses cost-effectiveness in budget administration							
505	Sets management goals and objectives							
506	Implements management action plans							
507	Uses evaluation procedures in management activities							
508	Other (specify)							
509	Other (specify)							

Exhibit 13 (cont'd)

APPENDIX A
(Continued)

	Outstanding	Excellent With Recommendations	Highly Effective With Recommendations	Effective With Recommendations	Not Effective	N/A	Recommendations
600 PROFESSIONAL COMPETENCIES AND IMPROVEMENT							
601 Plans and implements staff inservice programs							
602 Involves staff in planning and/or conducting inservice programs							
603 Encourages individual professional growth activities by staff							
604 Participates in professional growth activities							
605 Contributes to district-wide inservice programs							
606 Other (specify)							
607 Other (specify)							
700 PROGRAM PLANNING AND EVALUATION							
701 Plans and/or implements program improvements							
702 Refines organizational procedures related to programs							
703 Conducts program needs assessment							
704 Uses evaluation data for program improvements							
705 Other (specify)							
706 Other (specify)							
800 SERVICES TO STUDENTS							
801 Promotes the health/safety/welfare of students							
802 Administers attendance policies and regulations							
803 Maintains and interprets student records							

Exhibit 13 (cont'd)

APPENDIX A
(Continued)

		Outstanding	Excellent With Recommeondations	Highly Effective With Recommendations	Effective With Recommendations	Not Effective	N/A	Recommendations
804	Promotes student behavior patterns emphasizing self-control							
805	Utilizes a wide array of personnel and resources to improve student services							
806	Evaluates student services programs							
807	Other (specify)							
808	Other (specify)							
900	DISTRICT/DEPARTMENTAL/SCHOOL GOALS AND OBJECTIVES (These are determined annually.)							
901	Demonstrates cooperative planning in his/her department/section/school							
902	Contributes to cooperative implementations and achievement of goals and objectives							

Signature of Evaluator Date

Signature of Evaluatee Date

Exhibit 14

APPENDIX B
(Continued)

FORM A-2
Year: ______

NEED IDENTIFICATION AND MANAGEMENT BY OBJECTIVES PLAN

COPIES: See below

Evaluatee: ______________________ Position: ______________________

P. Evaluator: ______________________ Position: ______________________

Directions: Using your annual assessment and EPRMS decision packages, determine a need or area to emphasize during the coming year. Complete this worksheet. At the end of the year, complete Section D. Assessment of Results, with necessary comments.

A. Objective:

B. Degree of Difficulty (check appropriate rating)

	Evaluations	
	Evaluatee	Evaluator
Rating: 1 - Minimal degree of difficulty	______ 1	______ 1
2 - Moderate degree of difficulty	______ 2	______ 2
3 - Maximum degree of difficulty	______ 3	______ 3

C. Evaluative Criteria:

D. Assessment of Results: (check appropriate symbols)

	Evaluations	
	Evaluatee	Evaluator
Symbols: A - Achieved	______ A	______ A
PA - Partially Achieved	______ PA	______ PA
NA - Not Achieved	______ NA	______ NA

(Any objective assessed as NA must be explained below.)

E. Comments: (Evaluator)

F. Comments: (Evaluatee)

Signatures:

Evaluatee: ______________________ Date ______

Evaluator: ______________________ Date ______

Reviewer: ______________________ Date ______

(If more space is needed for any of the above sections, use reverse side of worksheet.) COPIES: Orig. - Central Office; 1st - Evaluatee; 2nd - Evaluator

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APPENDIX VII

Chicago, Illinois

The Chicago Board of Education is in the process of integrating the performance evaluation of staff at all levels into a comprehensive management program: the Management Accountability Program (MAP) of the Chicago public schools. MAP refers to a formal process of establishing system-wide objectives for Chicago public schools, relating the responsibilities of individual schools, departments and executive offices to these objectives, and eventually translating original objectives into specific work tasks for individual employees. Since the design of the accountability program is intended to ensure comprehensive goal consistency among all levels of the educational hierarchy, it makes little sense, at least in theory, to treat teacher and administrative appraisal separately. In practice, however, MAP has been applied primarily at administrative levels due, in part, to the recency of the program.

The Chicago system of appraisal has several distinctive characteristics:

1. Systematic monitoring of progress on action plans and goal achievement by a computer-based "bring-forward" system for key events;
2. An emphasis on shared accountability among all levels of the educational hierarchy;
3. Concurrent emphasis upon both organizational and individual goals and achievements;
4. A strong emphasis on objectives-based appraisal with very little emphasis on specific performance competence or process-based criteria of effectiveness;
5. Integration of the performance appraisal process into a broader management program through the diffusion and delegation of system-wide objectives and assessment against goal achievement.

The Management Accountability Program (MAP) consists of planning, implementation, and evaluation phases. Planning for the forthcoming year begins in the spring with the establishment of system-wide objectives. Responsibility for the accomplishment of system-wide objectives is delegated to the associate, assistant, and district superintendents, school principals, and department directors who prepare action plans for attaining both system-wide goals and priority objectives specific to their area of responsibility. Two forms are used in the development of action plans: "Statement of Action Plan" and "Action Plan Review Criteria". A sample of each is included in the Appendix (Exhibit 15 and 16).

The implementation phase, which begins with the opening of schools, includes not only the action undertaken to accomplish goals, but also the monitoring of progress toward goal achievement. All approved action plans are forwarded to a central office which puts the key events and accompanying target dates outlined in the plans into the computer to produce a master calendar of due dates for each key event. This computer-based monitoring system flags each key event one week prior to the target date and notices are sent to the relevant administrator as reminders. The administrator submits a form through his or her supervisor to the central office giving the status of the key event (completion, delay, revision, etc.) and the file is updated. On a quarterly basis, a report showing progress made on action plans is prepared for each member of the executive staff and the General Superintendent. A formal conference between staff and supervisor occurs mid-year to ensure that the status of all objectives is reviewed and necessary revisions are made.

The third and final phase of the Management Accountability Program is evaluation. The evaluation phase for organizational units overlaps with the planning phase for the following year. In this phase, administrators discuss the current year's accomplishments with their superiors and this review provides the foundation for the coming year's objectives and action plans. The performance evaluation of individual staff members is also based on goal accomplishment. As outlined in the program, the specific objectives of performance evaluation are to:

- Relate the performance of every professional staff member to the goals and objectives of the school system, as reflected in the objectives of the General Superintendent and the Board of Education's offices, departments and schools.
- Promote the co-ordination of efforts within and among operating units with related responsibilities.
- Ensure essential communication between supervisors and staff members related to the achievement of established objectives and job responsibilities.
- Establish shared responsibility and accountability between supervisor and staff members for the achievement of objectives and responsibilities.

Because performance evaluation is based on accomplishment of position responsibilities and progress made toward established objectives, the design of the system is primarily output-focused. There is also a checklist of 17 performance competencies for management personnel but it is intended to foster professional growth and its use is strictly optional. Appraisal is the responsibility of the staff member's immediate supervisor. The primary data sources are appraisee reports on adherence to action plans, informal or impressionistic knowledge of appraisee performance, and school visits (district superintendents, for example, are required to visit their schools three times a year). The results of the evaluation are shared with each employee and in the event of disagreement between a member of the staff and an administrator, the matter is referred for arbitration to the superior to whom the administrator reports. Such appeals are received and settled within 20 school days, subject to approval by the General Superintendent.

Like most evaluation programs, there is little formal evidence of program effectiveness or ineffectiveness. On-site interviews suggest that the program's philosophical emphasis on management accountability has generated sound, systematic procedures for assessment, has served to link personnel and organizational evaluation together, and to strengthen goal congruency among different levels of the organization hierarchy and across schools. On the other hand, the formal evaluation of personnel has yet to be tied to personnel decision (promotion, dehiring transfer, compensation) or professional development. Excessive paperwork was repeatedly cited as a weakness of the program, yet this may be less an inherent problem of the system than a reflection of the broad spans of control typical of most administrators. One of the superintendents interviewed on-site, for example, indicated that in trying to visit each school once a month (20 school days in a month and 23 schools), he felt that his close liaisons with staff members left little time for other work. Similarly, in large schools, where the principal:teacher ratios approached 1:100, yearly observations and assessments were exceedingly time-consuming.

Due to the recency of the Management Accountability Program, its philosophy and design are less in evidence at the teacher level. Many teachers serve on task forces for school action plans and attend the annual meeting of all principals in which city-wide objectives are reviewed. Teachers are also expected to generate long-range plans in addition to their weekly lesson plans and may be assessed partly against these goals, but such a practice has not been uniformly enforced. It is up to the teacher to specify objectives, plans, and assessment criteria, and these objectives need not be specifically tied to the school action plan. It was unclear whether future efforts would be made to diffuse the accountability program down to the classroom level. Currently, the evaluation process requires only a general four-stage cycle of planning, observation, conference, and summative evaluation. On-site interviews suggested teacher unions might be resistant to accountability on the basis of specific action plans tied to school objectives.

STATEMENT OF ACTION PLAN
Schools and Departments

PAGE 1 OF 2

NAME: SAMPLE

POSITION: Principal

UNIT NUMBER: 9 9 9 9

SCHOOL/DEPARTMENT: Elementary School

0 1 RESPONSIBILITY: Improve reading program

0 1 OBJECTIVE: Increase median achievement in reading by at least one month (weight) . 2 0

REASONS FOR SELECTING THE OBJECTIVE (needs, problems, etc.): System-wide objective

INDICATOR(S) OF ACCOMPLISHMENT: End-of-year Iowa test

Exhibit 15

NO	KEY EVENTS	PERSON OR POSITION RESPONSIBLE	DEPT * (unit no.)	TARGET DATE	DATE COMPLETED	COMMENTS USE BACK OF PAGE FOR ADDITIONAL COMMENTS
1	Establish grade organization based on achievement in reading	Principal		1982 9-1		
2	Establish program to permit first period (9:05 - 10:20) Walking Reading for intermediate and upper cycles	Principal		9-1		
3	Establish Walking Reading organization for the intermediate and upper cycles	Asst. prin. & grade cycle chairpersons		9-17		
4	Provide inservice for staff	Asst. prin. &/or consult.		9-17		

*Complete only if another department is responsible for a KEY EVENT. Enter unit number of that department.

Prepared by: Principal Date: 8-15-82 Approved by: District Superintendent Date: 9-1-82

Exhibit 15 (cont'd)

NO	KEY EVENTS	PERSON OR POSITION RESPONSIBLE	DEPT * (unit no.)	TARGET DATE	DATE COMPLETED	COMMENTS USE BACK OF PAGE FOR ADDITIONAL COMMENTS
				1983		
5	Administer evaluation tests	Dept. of Res. & Eval. & staff	0160	4-30		
6	Obtain evaluation results	Principal		5-30		

*Complete only if another department is responsible for a KEY EVENT. Enter unit number of that department.

Prepared by: Principal Date 8-15-82 Approved by District Superintendent Date 9-1-82

ADDITIONAL COMMENTS:

Exhibit 16

ACTION PLAN REVIEW CRITERIA

	OBJECTIVES: SHORT TITLES											
CODE* →												
1. Is the objective related to the following? (Check for "yes." Leave blank for "no.")												
• General Superintendent's citywide objectives												
• Priority objectives of the office or department head												
• Need of the school system (supported by evidence)												
2. Is the objective stated clearly and does it include the following?												
• Specific subject matter												
• Appropriate action verb												
• Completion date												
3. Is there a relationship between key events and the objective?												
4. Are key events listed in a chronological order?												
5. Are key events coordinated with each other?												
6. Is implementation assigned?												
7. Are key events consistent with Board policy, educational and management theory and practice?												
8. Are the necessary resources available?												
9. Is the timetable realistic?												
10. Can progress be tracked while the plan is being implemented?												
11. Is the success in the plan --												
• measurable?												
• obtainable?												
12. Is the objective attainable?												
13. Is it likely that the plan will accomplish the objective?												

* Example: Code $\boxed{2/5}$ would refer to objective no. 5 under responsibility no. 2.

Prepared by: Staff Member	Reviewed by: Supervisor	Date

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